

ANALYZING THE CONTRIBUTIONS OF A COMMUNITY COALITION IN AN
URBAN NEIGHBORHOOD IN KANSAS CITY, MISSOURI:
AN EMPIRICAL CASE STUDY OF THE IVANHOE NEIGHBORHOOD COUNCIL

By

Jomella Watson-Thompson

M.U.P., University of Kansas, 2002

M.A., University of Kansas, 2005

Submitted to the graduate degree program in Applied Behavioral Science and the
Faculty of the Graduate School of the University of Kansas
In partial fulfillment of the requirements for the degree of
Doctor of Philosophy

Stephen B. Fawcett, Chairperson

Charles Greenwood, Committee Member

Jerry A. Schultz, Committee Member

Glen W. White, Committee Member

Stacey Swearingen White, Committee Member

Date defended: November 8, 2007

The Dissertation Committee for Jomella Watson-Thompson certifies
that this is the approved version of the following dissertation:

ANALYZING THE CONTRIBUTIONS OF A COMMUNITY COALITION IN AN
URBAN NEIGHBORHOOD IN KANSAS CITY, MISSOURI:
AN EMPIRICAL CASE STUDY OF THE IVANHOE NEIGHBORHOOD COUNCIL

Stephen B. Fawcett, Chairperson

Date approved: December 7, 2007

Abstract

Community coalitions aim to facilitate changes in community outcomes and conditions by addressing problems and determinants of health and well-being. Although there is increasing support for community coalitions, there is limited evidence of their effectiveness in facilitating change and improvement in communities. This study presents an empirical community-level case study of the change process of a community coalition, the Ivanhoe Neighborhood Council. It systematically examines the unfolding of community changes (i.e., new or modified programs, policies, and practices) to improve neighborhood conditions in a declining neighborhood in Kansas City, Missouri. Using an empirical case study design, it examines the implementation of the community change framework and 12 related community processes to support the facilitation of community changes by the Ivanhoe Neighborhood Council from 1999 to 2002.

The results suggest that the Ivanhoe Neighborhood Council was effective in implementing community changes; and these changes were associated with modest improvements in targeted outcomes particularly related to housing and crime. Implementation of the community change framework was associated with accelerated rates of community change and enhanced the capacity of the community coalition to facilitate change and improvement in the declining neighborhood. The results suggest that the community processes may be important to facilitating community change, and, perhaps ultimately community improvement.

Acknowledgements

I am grateful for the opportunity to collaboratively learn and contribute to meaningful efforts to positively change and transform communities. I have been privileged to work with exceptional people. My journey of academic pursuit has allowed me to cross the paths of progressive thinkers and purposeful contributors in both academia and the community. At Jackson State University, in Jackson, Mississippi, I crossed the paths of Jacquelyn Franklin and Kathryn Weathersby who helped to unveil my commitment to making real improvements in the lives of people. It was at Jackson State that I first realized the importance of being a community advocate and champion for change, particularly in marginalized communities. From Mississippi, I returned to my Kansas home and was engaged with wonderful colleagues in the Urban Planning Department at the University of Kansas. I am also grateful to Rosalyn Brown who was instrumental in connecting me to the KU Work Group.

My engagement with the KU Work Group has been profound and has significantly influenced my way of thinking and honed my interest in positively changing and impacting communities. I have been afforded the opportunity to work collaboratively with respected and visionary colleagues. As a mentor and advisor, Dr. Stephen B. Fawcett, has been a transformational leader and has inspired an academic commitment to learning, a research interest in advancing knowledge to transform communities, and an enhanced desire to contribute to purposeful engagement by preparing and supporting generations of change agents in both academia and the community. I am appreciative of Dr. Fawcett for his visionary guidance, enduring commitment, directed support, and continued confidence in me as a colleague. I am also appreciative of Dr. Jerry Schultz, who has provided many opportunities and support through his consistent leadership, timely guidance, and unselfish commitment to my academic and professional growth and development. I would like to also

thank Rod Bremby and John Cyprus who were former colleagues that helped to support and provide a solid foundation for this project. I am grateful for the rich and supportive learning environment that has been fostered by all of my colleagues at the KU Work Group.

Most importantly, I am thankful for my colleagues and friends of the Ivanhoe Neighborhood Council. I was blessed to have the opportunity to be engaged with such a purposeful group of people with a steadfast commitment and enduring faith to transform the community. The Ivanhoe Neighborhood Council helped to incubate my understanding of how a group of committed and thoughtful people can change and positively impact communities. I am especially grateful to Margaret J. May, Jessie Jefferson, Alan and Yolanda Young and the board and residents of the Ivanhoe Neighborhood Council for the opportunity to collaboratively learn. I would also like to thank the Kauffman Foundation, particularly Gloria Jackson, Andres Dominguez, and Jim Koeneman, for their investment in localized grantmaking and support of this project.

Dedication

To Eric, my wonderful husband, for your unwavering love and support. Your commitment, faith, and countless sacrifices have enabled me to complete this academic pursuit. Now, I have the opportunity to fully support you in your dreams and endeavors.

To Amaya, my beautiful daughter, for your tender love and patience. You have been my motivation and inspiration to complete this journey. Your smile and your warm embrace have given me joy and strength. Thank you for understanding when Mommy was not able to be home and for being such a big little girl.

To my parents, Annie and Melvin Watson, for always believing in me. You have been with me every step of the way and provided a solid foundation of love and support. Thank you for your guiding hands, your encouraging words, and your commitment to my success.

To my grandparents, James and Josephine Watson and Andrew and Bertha Webster, and my dear Aunt Linda. You instilled and required academic excellence. Thank you for planting seeds of excellence. It is on your shoulders that I will forever stand.

To all of my family and friends, for your steadfast love, continued support, and guided inspiration. Each of you has been an anchor and in your own way and has given me strength and encouragement. I am so blessed to know and have such an abundance of love and support. It is because of you that I believe in the power to positively impact the lives of individuals and to collaboratively transform communities!

And, all honors go to my constant source of strength, the author and finisher of my faith, in whom I live, breathe and have my being.

Table of Contents

Introduction	1
Comprehensive Community Change Initiatives	2
Community Engagement in Change Efforts	3
Present Study	5
Conceptual Framework for Neighborhood Change and Improvement	7
Methods	15
Setting and Context	15
Partners of the Comprehensive Community Change Initiative	19
Measurement System	26
Documentation of Community Change	28
Qualitative Assessment of Community Processes	32
Assessment of Permanent and Archival Records as	33
Outcome Measures	
Intervention- - Implementation of the Community Change	34
Framework and Related Processes	
Design	51
Results	57
Discussion	76
Study Findings	77
Limitations and Challenges	97
Strengths and Contributions	101
Implications for Future Research and Practice	104

Emerging Lessons Related to the Implementation of the Community Change Framework	105
Recommendations for Practitioners, Researchers, and Grantmakers	111
Summary	114
References	116
Appendices	127
Appendix A Map of the Ivanhoe Neighborhood	127
Appendix B Scoring Instructions for Community Changes (CC)	128
Appendix C Interview Protocol for the Analyzing Contributions of the Ivanhoe Neighborhood Council	129
Appendix D Survey of the 12 Processes for Importance and Satisfaction	130
Appendix E Illustrative Example of the Survey of the Impact of the Community Changes Facilitated by the Coalition	134

List of Figures and Tables

Figure 1	A Framework and 12 Associated Processes for Community Change and Improvement in Urban Neighborhoods	8
Table 1	Memorandum of Understanding Among Collaborator Partners in the Community Change Initiative	27
Table 2	Evaluation Questions and Related Measures for the Change Effort	29
Table 3	Components and Elements of the Community Change Framework Implemented by the Ivanhoe Neighborhood Council	35
Table 4	Illustrative Examples of Community Changes Facilitated by the Ivanhoe Neighborhood Council	45
Figure 2	Critical Event Overlay of the Cumulative Number of Community Changes Facilitated by the Ivanhoe Neighborhood Council	58
Figure 3	Residents in the Ivanhoe Neighborhood that Participate in the Block Contact Program	65
Figure 4	Distribution of Community Changes (N=117) Facilitated by the Ivanhoe Neighborhood Council, between 1999-2002 by Goal Area	66
Figure 5	Distribution of Community Changes (N=117) Facilitated by the Ivanhoe Neighborhood Council, between 1999-2002 by Behavior Change Strategy	68
Figure 6	Distribution of Community Changes (N=117) Facilitated by the Ivanhoe Neighborhood Council, between 1999-2002 by Sector	69

Figure 7	Distribution of Community Changes (N=117) Facilitated by the Ivanhoe Neighborhood Council, between 1999-2002 by Duration	71
Figure 8	Loan Applications for Home Purchases in the Ivanhoe Neighborhood, 1996-2004	73
Figure 9	Permits for Housing Improvements in the Ivanhoe Neighborhood From 1997 to 2003	74
Figure 10	Cumulative Number of Community Changes Facilitated by the INC Related to the Annual Violent and Non-Violent Crime Rates (per 100 residents) in the Neighborhood	76

Analyzing the Contributions of a Community Coalition in an Urban Neighborhood in Kansas City, Missouri: An Empirical Case Study of the Ivanhoe Neighborhood Council

The problem of urban decline, the undesirable loss of economic and social viability in a city, has challenged many cities and neighborhoods throughout the United States (Bradbury, Downs, & Small, 1982; Glaser, Denhardt, & Grubbs, 1997; Watson-Thompson, Fawcett, & Schultz, in press). The modern problem of urban decline became more apparent during the 1960's (Shannon, 1983), with increased indications of neighborhood deterioration (Bradbury, Downs, & Small, 1982). During this time, a confluence of broader factors (e.g., urban sprawl) and historical policies (e.g., Urban Renewal) accelerated urban decline (Gotham, 2002; Newman & Lake, 2006). Factors that are commonly associated with urban decline include the concentration of poverty (Downs, 1997), lack of employment (Hansen, 1975), inadequate housing (Hansen, 1975), and increased crime (Dernhardt & Glaser, 1999; Shannon, 1983). In many cities, urban decline resulted from inadequate responses to broader socioeconomic determinants or conditions that influence health and well-being including income, equality, education, employment, and social support (Mechanic, 2007; Vlahov et al., 2000).

Since the 1960s, there have been a variety of both governmental approaches, such as New Federalism and the Healthy Cities Movement, and non-governmental efforts, such as those of foundations and community-based organizations, in addressing urban decline. Traditional responses to urban decline have relied upon government interventions using “quick fix” or expert-based solutions, which have not maintained effectiveness over time (Dernhardt & Glaser, 1999). For instance, the expert-based urban renewal programs and the highway clearance projects of the 1950s and 1960s resulted in the massive displacement and upheaval of residents living in urban core neighborhoods (Banfield, 1968; Gotham, 2002).

The failures of past interventions suggests that the complex web of social problems cannot be generically solved, but require individually targeted and community-specific solutions (Dernhardt & Glaser, 1999).

Comprehensive Community Change Initiatives

During the 1990s, private foundations began to initiate comprehensive community change efforts through place-based initiatives in urban neighborhoods and cities throughout the United States (Nowell, Berkowitz, Deacon, & Foster-Fishman, 2006). These place-based initiatives have taken a variety of forms including comprehensive community initiatives (Chaskin, 2001; Chaskin, Brown, Venkatesh, & Vidal, 2001), community development partnerships (Nye & Glickman, 2000), and comprehensive community-building initiatives (Foster-Fishman, Cantillon, Pierce, & Egeren, 2007). These place-based efforts are based on the recognition that it should not be the sole responsibility of residents in urban core neighborhoods to rectify years of historical disinvestment (Jackson et al., 2003; Krumholz, 1996; Ross & Leigh, 2000). A fundamental premise of comprehensive community change efforts is to enhance capacities of local residents to engage in collaborative and community-determined problem solving (Foster-Fishman et al., 2007).

These community change efforts aimed to address broad determinants of health and well-being by targeting a variety of social issues, such as employment and education, through significant investments of resources in concentrated geographical areas (Nowell et al., 2006; Shonkoff & Phillips, 2000). Comprehensive community initiatives typically addressed related issues such as housing, economic development, crime and safety, education, and youth and adult development. A core feature of comprehensive community change efforts is the provision of community capacity-building supports. Based on principles of community-based participatory research, these efforts supported meaningful collaboration between the funding

agencies, intermediary support organizations (e.g., university-based researchers), and community partners through the active participation of residents in targeted communities (Chaskin, 2001; Foster-Fishman et al., 2007; Nowell et al., 2006).

Community Engagement in Community Change Efforts

Although the rhetoric supports community involvement in addressing urban decline, it has not been as readily embraced in practice (Hancock, 2001). There is growing recognition of the need for inclusion of members of the community in all phases of the intervention, from problem identification and design to implementation and evaluation of the initiative (Foster-Fishman et al., 2007; Smock, 1997). In community development approaches, residents of the local community are seen as best positioned to define their own needs and to inform strategies for addressing them (Denhardt and Glaser, 1999; Fawcett et al., 1995; Foster-Fishman et al., 2007).

Community Coalitions

In recent years there has been a revival of support for community-driven coalitions or partnerships as an approach to improving neighborhood conditions and outcomes (Pilisuk, McAllister, & Rothman, 1996). Community coalitions involve multi-sector alliances among individuals and groups, such as businesses and faith organizations, to address community issues through long-term citizen-based involvement (Roussos & Fawcett, 2000; Wolff, 2001; Zakocs & Edwards, 2006). Community coalitions have been used as a strategy for community change and improvement related to a variety of issues including substance abuse, crime and safety, and other urban development issues (Berkowitz, 2001; Roussos & Fawcett, 2000; Wolff, 2001). When addressing urban development, community coalitions create niches of opportunity for community residents and entities to work together on common issues while building organizational capacity and maintaining local autonomy (Wolff, 2001).

Community-Based Participatory Research

The active engagement of local people in the development and implementation of an intervention requires a more participatory approach to research and development (Boothroyd, Fawcett, & Foster-Fishman, 2004; Fawcett, 1999; Israel, Schultz, Parker, Becker, 1998; White, 2002; White, Suchowierska, & Campbell, 2004). University researchers, governmental entities and funding agencies have a mixed record of supporting community involvement in problem identification, intervention development and implementation (Fawcett, 1991; Florin & Wandersman, 1990). The principles of community-based participatory research calls for involving the community, researchers, and funders as co-partners and co-learners in all phases of the intervention (Higgins & Metzler, 2001; Metzler et al., 2003; Minkler, Glover Blackwell, Thompson, & Tamir, 2003; White, 2002). Local residents are regarded as community experts through their local knowledge of the context and experience with the problem (Fawcett et al., 1995; Foster-Fishman et al., 2007; Minkler et al., 2003; Nowell, Berkowitz, Deacon, & Foster-Fishman, 2006).

The engagement of local residents and organizations through participatory research and action maximizes the assets and resources already present in the community, which are necessary for implementing and sustaining community change interventions. According to Metzler et al. (2003), “a primary goal of CBPR is to increase a community’s capacity to address and solve its own problems through the development of effective and sustainable interventions” (p. 804). The empowerment of local people through participatory research and evaluation is a powerful approach to building community capacity and maintaining intervention implementation and effectiveness over time (Foster-Fishman et al., 2007; Nowell et al., 2006).

Present Study

Need for Present Study

Although there is increasing support for the use of community coalitions to address community-level issues, there is relatively little known about how to document and evaluate the impact of these interventions on community-level outcomes (Baum, 2001; Berkowitz, 2001; Hyra, 1999). Despite increasing knowledge regarding the process of coalition building, there is very little systematic measurement of the accomplishments and outcome effectiveness of such efforts (Butterfoss, Goodman, & Wandersman, 2006; Fawcett et al., 1997; Greenberg, Feinberg, & Gomez, 2005; Wolff, 2001). In the literature, the challenges of identifying sensitive outcome measures to evaluate community initiatives are noted (Berkowitz, 2001; Greenberg et al., 2005; Kegler, Twiss, & Look, 2000).

There is limited evidence of the effectiveness of community initiatives that target multiple determinants of community health and well-being, such as housing and poverty, particularly in communities of concentrated poverty. There is also relatively little known about the effects of particular factors or community processes that enhance the capacity of community coalitions to facilitate change and improvement for targeted outcomes of concern (Feinberg, Greenberg, & Osgood, 2004; Roussos & Fawcett, 2000; Zakocs & Edwards, 2006). Few studies provide evidence of the effectiveness of more grassroots-based community coalitions to facilitate community change (Kaye, 2001).

Documentation of the process of neighborhood change could help foster improvement in local conditions. McLeroy, Norton, and Kegler (2003) suggests that “theories of community change are the least explored and offer the greatest promise for documenting the effectiveness of and improvements in community-based health promotion” (p. 531). Documentation of how the environment is changing- - the unfolding of the neighborhood

intervention - - may enable more explicit understanding of factors and conditions that facilitate community change (McLeroy, Norton, & Kegler, 2003). Edleman (2000) reiterated the importance of using the community change theory as an approach for addressing complex, interrelated, and multiply-determined social problems. Yet, there have been few systematic studies focusing on the implementation of community change theories and frameworks (Edelman, 2000; McLeroy et al., 2003). McLeroy et al. (2003) indicated the need for ongoing research to increase understanding of the theory of community change. There is a need for longitudinal studies that evaluate the outcomes of community change efforts over time. Integrating quantitative and qualitative methods can help analyze the effectiveness of community change efforts to facilitate positive change and improvement in communities (Goodman, Wandersman, Chinman, Imm, & Morrissey, 1996). Documentation and analysis of the contribution of the community change process can further understanding of the relationship between intervention activities, community change, and intended community-level outcomes.

Purpose of the Present Study

The purpose of this present study is to examine the process of a community coalition, the Ivanhoe Neighborhood Council (INC), as a facilitator of community and systems changes to improve neighborhood conditions. This study will examine the implementation of a community change framework by a grassroots-based community coalition to support improvements in an urban core neighborhood experiencing significant decline. This research examines the unfolding of the community change framework to support the facilitation of community and system changes by the Ivanhoe Neighborhood Council between 1999 and 2002. This research uses an empirical case study design to examine the conditions under which this community coalition contributed to change and improvement in the neighborhood.

To examine these relationships, this study explores the following questions: (a) To what extent did the community coalition serve as a catalyst for community change? (b) What factors were associated with accelerated rates of community change? (c) How did the community coalition contribute to improvements in the neighborhood? (d) Have there been improvements in community-level outcomes of concern? and (e) What evidence is there of enhanced leadership capacity of the Ivanhoe Neighborhood Council to support change and improvement in the community? The study concludes with recommendations to enhance development, implementation, and evaluation of comprehensive community change initiatives.

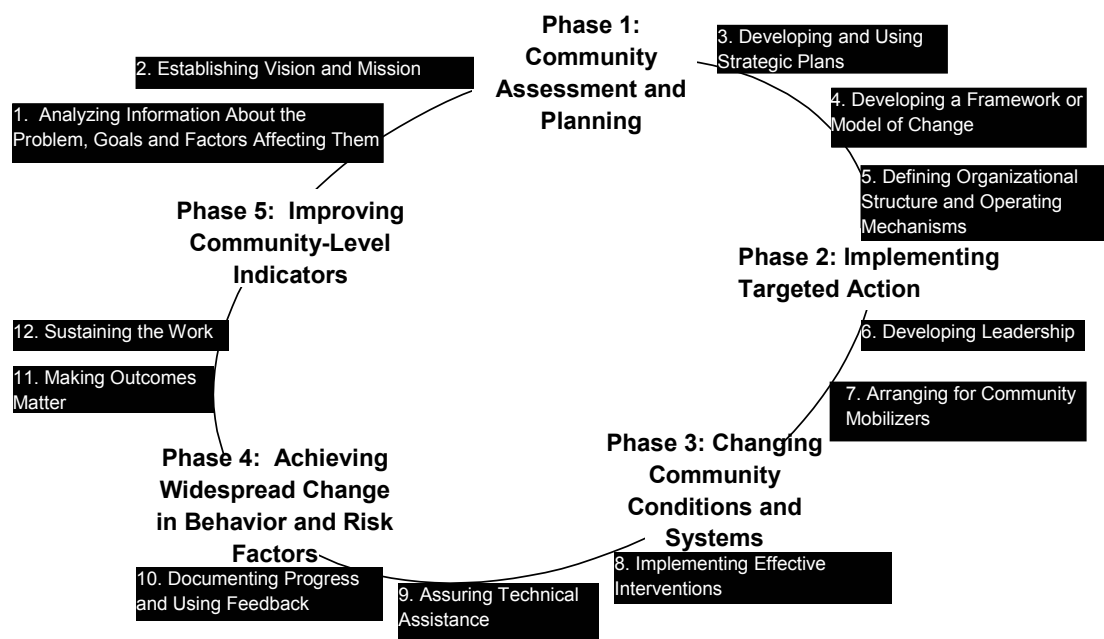
Conceptual Framework for Neighborhood Change and Improvement

Based on principles of community-based participatory research, the model of change for this community effort was based on the Institute of Medicine's framework for public health action in communities (Fawcett et al., 2000a; Institute of Medicine, 2003). The framework outlines a model for community change and improvement and consists of the following components: (a) assessment and collaborative planning, (b) community action and intervention, (c) community and system change, and (d) improvement in neighborhood-level outcomes. As shown in Figure 1, this theory of action is both iterative and interactive. For example, assessment and collaborative planning should help determine appropriate forms of community action and guide the implementation of community change; the implementation of community change and the achievement of improvements in more distal outcomes should result in a renewed cycle of collaborative planning (Fawcett et al., 2000a).

The emerging empirical literature suggests a number of processes or factors that may contribute to the facilitation of community change (Fawcett et al., 2000b; Roussos & Fawcett,

2000; Zakocs & Edwards, 2006; Zakocs & Guckenburg, 2007). Figure 1 shows the integration of the IOM framework with 12 key processes that help to operationalize the implementation of the framework in mobilizing communities to change conditions related to targeted outcomes of concern (Wandersman, 2003). Emerging empirical evidence suggests that the 12 processes may be important for enhancing the capacity of local communities to facilitate change and improvement (Roussos & Fawcett, 2000; Watson-Thompson, Fawcett, Schultz, et al., in press). These factors or processes can be integrated into multiple phases of the community change framework (see Figure 2). The community processes suggest key elements of an integrated support system that enables community efforts to bring about locally-determined change and improvement.

Figure 1. A Framework and 12 Associated Processes for Community Change and Improvement in Urban Neighborhoods



Sources: Adapted from Fawcett et al., 2000; Institute of Medicine, 2003

Assessment and Collaborative Planning

As shown in Figure 1, assessment and collaborative planning can enhance the local capacity of a community initiative to facilitate change and improvement. An important element of collaborative planning is an understanding of the context of the community, including the neighborhood's history of collaboration. The acknowledgement of community context recognizes that the behavior of individuals in a community is influenced by environmental conditions (context) in which people live. Assessment of the context of the neighborhood can be obtained through focus groups, listening sessions, semi-structured interviews, and archival records of community-level indicators (e.g., census records, health reports). Assessment helps determine the community agenda and guides the development of the initiative's strategic plan. In the collaborative planning phase, individuals and organizations from multiple sectors with varied interests, experiences, and resources are gathered to help clarify and develop the initiative's vision, mission, objectives, strategies, and action steps (Wolff, 2001; Watson-Thompson et al., in press-a). As shown in Figure 1, the assessment and collaborative planning phase has five related processes.

Analyzing Information about the Problem or Goal

The process of analyzing information about the problem or goal allows for community assessment of local needs and resources. It involves community members in defining their own problems, thereby, resulting in more targeted and effective interventions (Kreuter, Lezin, & Young, 2000; Pilusik, 1996).

Establishing a Vision and Mission

This process is important in providing a basic foundation for the initiative's efforts. A clear vision and mission helps a group to communicate the common purpose of the effort (Fawcett et al., 2000a). It is important that the community determines its own vision and

mission for the community-based initiative (Wolff, 2001). An initiative's vision and mission guides the facilitation of community change by the group (Wolff, 2001). The establishment of a clear vision and mission can help an initiative generate support and strategically focus its efforts.

Defining Organizational Structure and Operating Mechanisms

It is important to have a clear organizational structure to help promote and facilitate the work of the initiative. The identification of explicit roles, responsibilities, and procedures among collaborative partners, organizational leaders, and staff helps the group to remain accountable and productive (Foster-Fishman et al., 2007; Wolff, 2001). A positive organizational climate that can address conflict helps to ensure the timely implementation of an initiative's efforts (Foster-Fishman, Berkowitz, Lounsbury, Jacobson, & Allen, 2001; Kegler & Wyatt, 2003; Kreuter, Lezin, & Young, 2000).

Developing a Framework or Model of Change

A framework, model or theory of change helps to guide the process of community action and change (Fawcett et al., 2000b). A clear framework provides a pathway or road map for reaching the intended outcomes (Fawcett et al., 2000b). This process indicates where and how change needs to occur to result in improvements in more distal outcomes. A clear framework can help communicate the initiative's approach for addressing a problem or goal.

Developing and Using Strategic Plans

A strategic plan indicates what the initiative hopes to accomplish and how the accomplishment will be obtained. This process identifies objectives, strategies, and specific action steps that will be taken by the initiative to accomplish the goal. The action plan component of the strategic plan helps to provide ownership and accountability for actions to be taken (Johnston, Marmet, Coen, Fawcett, & Harris, 1996; Watson-Thompson et al., in

press-a). Strategic planning has been associated with increased rates of community and system change (Roussos & Fawcett, 2000; Watson-Thompson, Fawcett, Schultz, in press-a).

Implementing Community Action

The planning process should result in direct action by collaborative partners to facilitate community and system change (i.e., new or modified programs, policies, or practices facilitated by the partners related to the mission). The community changes may address various community-determined goal areas (e.g., beautification, crime and safety, housing, or youth development). The facilitation of community action may use different behavior change strategies (e.g., providing information and enhancing skills, providing support) to transform various sectors of the community (e.g., businesses, faith-based organizations, schools) for different lengths of time (e.g., through ongoing activities, one-time events). Two processes, developing leadership and arranging for community mobilizers are associated with this phase.

Developing Leadership

Leadership is one of the most critical factors in supporting community and systems change (Roussos & Fawcett, 2000). The ability of an initiative to foster community change is largely dependent upon the quality of its leaders (Lasker, Weiss, & Miller, 2001; Wolff, 2001). The development of skilled leaders should be an important component of any initiative. The process of developing leadership helps to engage community residents and organizations and fosters a sense of ownership and responsibility (Foster-Fishman et al., 2007; Kegler & Wyatt, 2003). An organization is more likely to succeed if it has diverse and distributed leadership (Foster-Fishman et al., 2007; Wolff, 2001) including, for example, neighborhood residents, community leaders, organizational representatives, and governmental representatives among its members.

Arranging for Community Mobilizers

Community mobilizers or organizers help to (a) develop relationships with key collaborators (e.g., residents, partnering organizations, governmental entities) and (b) ensure implementation of the strategic plan to facilitate community and system change (Fawcett, Francisco, Paine-Andrews, & Schultz, 2000; Watson-Thompson, Fawcett, & Schultz, in press-b). Community mobilizers help to increase rates of community and system change (Roussos & Fawcett, 2000) by actively engaging community members and partners from multiple sectors of the community who are critical to addressing the problem or goal (Foster-Fishman et al., 2001; Israel et al., 1998).

Community and System Change

The purpose of the community action phase is to facilitate changes in the community and broader system. Community changes are new or modified programs, policies, or practices facilitated by collaborative partners and related to the mission of neighborhood development. Community changes are an intermediate marker of success; and, under some conditions they are associated with improvements in population-level outcomes (Fawcett et al., 2000a; Paine-Andrews et al., 1996). The working hypothesis is that change in the community will be associated with improvements in neighborhood-level outcomes when community changes are of sufficient: (a) amount by goal area (e.g., youth development, housing), (b) intensity of behavior change strategy (e.g., more changing policy than providing information), (c) duration (more ongoing than one-time events), and (d) penetration to targets (e.g., youth, senior citizens, elected officials, agency staff, neighborhood residents) through relevant sectors of the community (e.g., businesses, faith-based organizations) (Fawcett et al., 1997). As noted in Figure 1, there are several processes associated with this phase.

Implementing Effective Interventions

There is a unique tension between the adoption of evidence-based interventions or “best practices” and their adaptation to community context and conditions (Sorenson, Emmons, Hunt, & Johnston, 1998). It is important to implement effective interventions and to do so in the context of the community. The implementation of effective interventions ensures that critical elements of evidence-based approaches or interventions are tailored to meet local needs (Sorenson et al., 1998).

Assuring Technical Assistance

Provisions for technical assistance ensure support and resources for an initiative’s efforts. Technical assistance can increase the capacity of the initiative and its members by providing support for core skills and knowledge necessary to effectively implement desired change (Foster-Fishman et al., 2001). There are a variety of services and supports that may be provided to an initiative through technical assistance; and these include training, consultation, and support in the facilitation of coalition activities (e.g., through planning workshops, facilitation of a community assessment, leadership development training) (Feinberg et al., 2002; Wolff, 2001).

Documenting Progress and Using Feedback

This process encourages the collection and use of data to inform decision-making. Documentation of an initiative’s efforts allows for immediate and ongoing indicators of success for an initiative’s efforts. This process permits the direct involvement of community members in assessing the progress of the initiative. The measurement of intermediate outcomes enables an initiative to document progress (e.g., community and system change), celebrate accomplishments, identify barriers, and make adjustments (Fawcett et al., 1996; Lasker, 2001).

Widespread Behavior Change and Improvements in Community-Level Outcomes

The ultimate goal of a comprehensive change effort is to effectively address determinants of health and well-being (e.g., housing, poverty) through improvements in behavioral risk factors and community-level indicators. It is theorized that the coalition's facilitation of environmental change (i.e., community and system change) will lead to modified behavior (e.g., participation in community activities, increased reporting of illegal activities) of individuals in the neighborhood that will result in improvements in community-level outcomes (e.g., decreased crime rate, decreased unemployment, increased graduation rates). Two final processes, making outcomes matter and sustaining the work, are associated with this fifth and final phase of the framework.

Making Outcome Matter

This process entails using differential consequences (i.e., incentives and disincentives) to promote change and improvement (Fawcett et al., 2000b). Matching incentives with an initiative's progress increases organizational capacity and effectiveness for implementing community and system change and more distal outcomes (Fawcett et al., 2000b). Clear benchmarks can aid progress for an initiative when it is clear that there is an audience that cares about obtaining outcomes. The rate of community change has been shown to increase when decisions about future funding are tied to evidence of progress (Fawcett et al., 1997; Roussos & Fawcett, 2000).

Sustaining the Work

This process refers to efforts to assure financial, organizational, and community commitment and supports for the long-term viability of an initiative (Cornerstone Consulting Group, 2002). Improvements in population-level outcomes often require a longer-term commitment than external funding agents may be willing to assure (Thompson, Lichtenstein,

Corbett, Nettekoven, & Feng, 2000). It is important for an initiative to actively leverage resources to ensure effective implementation and maintenance of a community change effort.

METHODS

Setting and Context

This study included collaboration among several entities that worked together to support a comprehensive community change effort through the Kauffman Neighborhood Initiative. Key partners of the initiative included a grantmaker, support organization, and community coalition and its associated collaborators.

Background on Participating Neighborhood

The setting for this study was a community coalition in the Ivanhoe neighborhood, an older declining neighborhood in Kansas City, Missouri. This urban core neighborhood is bounded by Paseo Boulevard on the west, Prospect Avenue on the east, 31st Street on the north, and 47th Street on the south (see Appendix A for a map). It contains a large area consisting of approximately 452 blocks. In 2000, the population estimated at 8,869 was 95% African-American (Kansas City, MO Planning and Development Department, 2003).

Neighborhood Historical Context

During the 1880s, the area encompassing the Ivanhoe neighborhood was established as a farming community (Ivanhoe Neighborhood Council, 2004). By 1909, this area that a decade prior was nothing but grassland and cliffs, flourished with residences, boulevards, and recreational facilities (Jenkins, 1924). During the 1920s, the Ivanhoe neighborhood continued to emerge, anchored by the establishment of the Ivanhoe Masonic Temple (located near Linwood and Prospect) named after the English knight (Jenkins, 1924).

The strict segregation norms and laws of the early 20th century prohibited African-Americans from settling in the prosperous Ivanhoe neighborhood. In Kansas City, before

1940, Blacks were not allowed to move south of 27th street (Gotham, 2002). Thus, during the first half of the 20th Century, the Ivanhoe neighborhood was exclusively White. From 1950 to 1970, the neighborhood began to experience a racial transition associated with new laws and practices of desegregation. By 1960, nearly one-third of the neighborhood was 50 to 75 percent African-American. By 1970, approximately one-half of the neighborhood was 90 to 100 percent African-American, and the remainder of the neighborhood was at least 50 percent African-American (Gotham, 2002). Since the 1950's the neighborhood has steadily increased in Black population while the White population has consistently decreased. The initial successive departure of Whites from Ivanhoe and other central city neighborhoods in Kansas City were largely due to discriminative real estate practices such as steering and blockbusting (Gotham, 2002). Through blockbusting real estate agents encouraged the sale of property by suggesting that the influx of black residents would adversely affect the neighborhood and property values. Similarly, steering practices channeled potential home buyers away from or to certain areas based on race (Galaty, Allaway, & Kyle, 2000).

Between 1950 and 1970, Ivanhoe, like many other urban core neighborhoods in Kansas City, experienced not only racial transition, but also vast economical changes. The viability of the neighborhood was adversely affected by two main factors: white flight to the suburbs and a highway clearance project as part of the downtown redevelopment plan. From 1950 to 1975, many neighborhood families, as well as area businesses were displaced as a result of the highway clearance for the South Midtown Freeway (later renamed Bruce R. Watkins Drive in 1987) (Gotham, 2002). The land that was purchased and cleared by the government in preparation for the construction of Bruce R. Watkins Drive physically divided the neighborhood in half (Ivanhoe Neighborhood Council, 2005). After the clearance of land,

the construction of the Bruce R. Watkins Drive was delayed for over two decades due to legal disputes with the land remaining vacant (Ivanhoe Neighborhood Council, 2005).

The preparation of Bruce R. Watkins Drive, not completed until 2001, resulted in the demise of many homes and the reallocation of residents and businesses. The stability of the neighborhood greatly diminished as neighborhood businesses were either displaced as a part of the highway clearance project, or forced to relocate with shifts in economic demand. During this time period, the clearance of land for the freeway introduced the onset of blight in the neighborhood with lots remaining vacant for many years. The deteriorating state of the physically blighted neighborhood contributed to an increase in illegal activities, including illegal dumping and crime, which further contributed to the decline of the Ivanhoe neighborhood.

Neighborhood Determinants of Health and Well-Being

During the past half century, the Ivanhoe neighborhood has experienced all facets of urban decline, which has challenged the overall quality of living for residents in the neighborhood. Between 1950 and 2000, the general area encompassing Ivanhoe experienced nearly a 70% decrease in population (Kansas City, MO Planning and Development Department, 2003). Other symptoms of neighborhood decline included increased physical deterioration, diminished environmental quality, reduced social standing, disinvestments among property owners and investors and increased likelihood of crime and other neighborhood ills (Bradbury, Downs, and Small, 1982). In 1997, “Ivanhoe could be classified as one of the poorest, most under-educated and crime-ridden neighborhoods in Kansas City” (Kansas City Star, 1997).

In 2000, the Ivanhoe neighborhood was threatened by a multitude of social determinants of health including high poverty, low educational attainment, and poor housing.

According to the 2000 Census data, nearly 35% of the population in Ivanhoe lived below the poverty level, which was more than twice the poverty level (14.0%) for the city (Kansas City, Missouri Planning and Development Department, 2003; U.S. Census, 2000). More than 14% of neighborhood residents of working age (16 or older) were unemployed; and nearly 46% of the households in the neighborhood received some form of fixed income, either Social Security or Public Assistance (Kansas City, Missouri Planning and Development Department, 2003; U.S. Census, 2000).

Inadequate housing, another determinant of health and well-being, was a major concern for Ivanhoe residents. The area has an aging housing stock, with more than half of the housing units in the neighborhood built before 1950 and many of the housing units in need of repair (U.S. Census, 2000; Kansas City, Missouri Planning and Development Department, 2003). In 2000, the Ivanhoe neighborhood had a higher rate of renter occupied units (55%); and vacant units (18%) were twice as high as for the city overall (Kansas City, Missouri Planning and Development Department, 2003; U.S. Census, 2000).

Education, another determinant of health and well-being, was also an issue of community concern. In 2000, slightly more than 36% of adult neighborhood residents had not completed high school and less than 7% of adult residents had attained a Bachelor's degree (Kansas City, Missouri Planning and Development Department, 2003; U.S. Census, 2000). In 1999, the achievement test scores for math and reading in 3rd, 4th, and 5th grades were lower than district levels for the two area elementary schools attended by Ivanhoe children (Claritas, Inc, 2000; Schultz, Bremby, Cyprus, Collie, 2000).

Health and safety was another prime concern in the community. Between 1984 and 1994, there was a 150% percent increase in the violent crime rate (per 100 residents) and nearly a 37% increase in the non-violent crime rate in the neighborhood (Kansas City,

Missouri Planning and Development Department, 2007). Based on data gathered from the Crime Vulnerability Index, there was a greater concentration of individuals likely to commit homicide, rape, robbery and major crimes against persons in the Ivanhoe area in comparison to overall Jackson County or the national average (Claritas, Inc, 2000; Schultz, Bremby, Cyprus, Collie, 2000). In 2000, the Ivanhoe area exceeded the national average in Major Diagnostic Categories including HIV Infections, blood- related diseases and disorders, burns, alcohol/ drug related disorders, and adverse neonatal conditions (Claritas, 2000; Schultz, Bremby, Cyprus, Collie, 2000).

Partners of the Comprehensive Community Change Initiative

Ivanhoe Neighborhood Council (INC)

Despite challenges in this urban core neighborhood, the Ivanhoe neighborhood has many prevailing strengths. Many residents are committed to improving the neighborhood. The Ivanhoe neighborhood has a long history of civic associations and resident-based mobilization for change. The first noted accounts of collaborative organizing and residential leadership in the community was through the development of block-level associations in the 1950's. Longtime residents of the community noted the formation of block clubs in the neighborhood and sustained residential involvement as early as the late 1950's (Dorothy Matthews, personal communication, September 2003).

During the late 1960's, formal neighborhood organizations were established in many parts of Kansas City, as well as in other urban areas with similar socio-economic and demographic patterns. The purpose of these neighborhood groups was to raise the awareness of discriminative real estate practices and to advocate for housing improvements (Gotham, 2002). In 1967, the Ivanhoe Neighborhood Association (later renamed the Ivanhoe Neighborhood Council) was established to represent the entire neighborhood from 31st Street

to 47th Street and Paseo to Prospect. Prior to the formalized establishment of the Ivanhoe Neighborhood Council, there were already active block clubs and several other smaller neighborhood associations active in the Ivanhoe area, including Boston Heights (representing 31st to 35th Streets; Michigan to Paseo) and Key Coalition (25th to 35th Streets; Woodland to Prospect). The latter represented bounded, but separate, areas of the neighborhood. Thus, INC was originally formed to serve as an umbrella organization to unite other representative area associations (Martha Tolbert, personal communication, October, 2003).

During the 1980's, the organization began to experience both organizational successes and challenges. In 1982, one of the early victories for the neighborhood organization was the construction of an 80-unit apartment complex, Ivanhoe Gardens. However, during the mid-1980's, the Ivanhoe neighborhood also began to experience drastic decline due to urban flight and leadership transition. The development plan of the Bruce R. Watkins Drive encouraged urban flight through land acquisition; and it also physically and socially divided the Ivanhoe community, which contributed to further decline. Urban flight also reduced viability of INC due to decreased residential membership in the organization and block-level clubs and activities.

Another factor that contributed to the instability of the organization was leadership transitions. The neighborhood association eventually became dormant when the president of the neighborhood association passed without the emergence or grooming of new organizational leaders. During this time the block clubs and smaller area neighborhood associations, including Boston Heights, Key Coalition, and Mount Hope, remained active. By 1995, however, there were only three active block clubs in the Ivanhoe neighborhood (Alan and Yolanda Young, personal communication, 2007; Jessie Jefferson, personal communication, 2007).

In the mid 1990's, the worsening conditions of the neighborhood gave rise to the emergence of new neighborhood leaders. Between 1995 and 1998, the new leaders were persistent in addressing block-level problems and concerns, thereby increasing residential involvement and support for the redevelopment of the dormant INC. Important leaders in neighborhood revitalization were Alan and Yolanda Young. In 1995, the Youngs became involved in neighborhood mobilization in an attempt to reduce increasing crime and drug infestation problems on their block. The Young's developed a block club and engaged in block-level mobilization efforts including prayer vigils and sit-outs that supported the closing of six area drug houses. Throughout this mobilization effort the Youngs sought the involvement of the neighborhood association, but found that it was inactive. Alan Young began regaining support for the neighborhood association through contact with the two other active block clubs, area churches, Project Neighborhood (a neighborhood crime initiative), and the smaller area neighborhood associations. Through this individualized grassroots approach there was renewed residential support for INC.

In 1997, Alan Young emerged as the new president of INC; and by 1998 regular neighborhood-wide meetings had resumed. In 1997, after the Kansas City Star published a newspaper article about the efforts of Alan and Yolanda Young and the Ivanhoe neighborhood, the neighborhood organization received increased external support. Through collaboration with community partners, the organization was revitalized. During the formative years of the organization, Alan and Yolanda Young not only served as organizational leaders, but also as resident-based community mobilizers. For example, Yolanda Young actively recruited residents to serve as block contacts in 1998 and 1999. In 1999, the organization received funding and non-profit status. Then, staff hiring for the organization began in 2001.

Collaborative Community Partnerships

The revitalization of INC was supported by collaboration with residents and community partners. Many community collaborators united to work together as part of INC to help restore the community and the organization. The collaborative partners represented both public and private sector organizations. The 1997 article published in the Kansas City Star helped the organization to leverage support from community champions including Bob Reed with Kansas City Power and Light and James Nutter with James B. Nutter and Company. These community champions or “friends of Ivanhoe” helped to establish ongoing relationships and supports with outside organizations, with access to external resources. Between 1999 and 2002, key partners included: Project Neighborhood (later renamed Move-Up), Kansas City Power and Light, Front Porch Alliance and the Village Presbyterian Church, James B. Nutter and Company, Ewing Marion Kauffman Foundation, City of Kansas City, Missouri Planning and Development Department, City of Kansas City, Missouri Police Department, Greater Kansas City Community Foundation, Kansas City Neighborhood Alliance, University of Missouri Kansas City, and the KU Work Group for Community Health and Development (University of Kansas). The conditions that enabled the collaborative partnerships included strong internal leadership and resident commitment, the emergence of several core partners, and a community-based planning effort that began in 1999. The revitalization of Ivanhoe was largely the result of multiple and simultaneous investments and partnerships concentrated in the neighborhood at a single point in time that supported related neighborhood issues.

Project Neighborhood. Several partnering organizations had a key role in helping to foster organizational development and neighborhood improvement. In the early 1990’s, one of the first organizations that really began to invest in the Ivanhoe area was Project

Neighborhood, later merged and renamed Move-Up (Community Movement for Urban Progress). Through Project Neighborhood (Move-Up), the Ivanhoe neighborhood was selected as one of several target neighborhoods to participate in the Neighborhood-Centered Initiative, which worked to build collaborative relationships between residents and community organizations and agencies to support community and system change. The focus of this project was to restore the viability of the neighborhood by providing community supports and collaboration that empowered residents and community groups to take back their neighborhood. Project Neighborhood also provided support to the neighborhood through the Fighting Back Project funded by the Robert Wood Johnson Foundation. One of the main focus areas of Project Neighborhood was to reduce substance abuse and related crimes. From 1995 to 2000, the supports provided by Project Neighborhood (Move-Up) were pivotal in the restructuring and reorganizing of INC. Through Project Neighborhood, there were paid community mobilizers that worked with Alan and Yolanda Young and later INC to provide strategic direction, support, and experience in implementing mobilization efforts in the community.

Front Porch Alliance. Another partnering organization that was fundamental to the development of both the INC and the neighborhood was Front Porch Alliance (FPA). In February of 1999, FPA, a subsidiary organization of the Village Presbyterian Church (a suburban church), became involved in the Ivanhoe area through a project marking the 50th anniversary of the church. FPA worked with neighborhood residents to identify priority areas for the project: housing, education, employment and economic development, and health. In collaboration with FPA, many targeted programs were provided in the Ivanhoe neighborhood such as minor home repairs, neighborhood clean-ups, and youth after-school and summer programs. In 2001, FPA established an office in the Ivanhoe community and allowed INC to

also occupy some of their office space until the organization acquired more substantial funding and staff.

Grantmaker

The Ewing Marion Kauffman Foundation, a Kansas City-based philanthropy, with a commitment to localized grantmaking, was the major funder and catalyst for the comprehensive community change effort, the Kauffman Neighborhood Initiative. In the late 1990s, the Kauffman Foundation had refocused its grantmaking strategy to support a systems or place-based approach to youth development based on the healthy community model (Ewing Marion Kauffman Foundation, 1999). This community change initiative was part of the “healthy neighborhood” strategy that focused on improving outcomes of youth by building and enhancing the immediate environment (Ewing Marion Kauffman Foundation, 2004). The Kauffman Neighborhood Initiative was supported through a collaborative relationship between the funder, the community coalition, and a university-based support organization.

INC was one of three neighborhoods in the Kansas City metro area selected by the Kauffman Foundation to participate in the Kauffman Neighborhood Initiative. The Foundation considered Ivanhoe to be a risky investment and was not considering the inclusion of the neighborhood in the initiative. However, Foundation officers, including Jerry Kitzi, vice-president of youth development, and Leon Franklin, program officer, advocated for the inclusion of the Ivanhoe neighborhood based on “a burning energy in Ivanhoe” (Jim Koenomen, personal communication, June 2005). The Foundation had initially anticipated long-term investments, five to twenty years, in each neighborhood. The mission for the neighborhood initiative was: “In collaboration with the Kauffman Foundation and community-identified leaders, build capacity for community change through support,

planning, and documentation with three selected neighborhood initiatives in the Kansas City area”. The foundation provided funding for INC to develop and implement a strategic plan, as well as resources for staffing and organizational development. The Foundation also initiated collaborative meetings between the three collaborative partners responsible for co-supporting this comprehensive community change effort.

At the time of this study, a focal area for the Foundation was providing comprehensive youth development. In 1996, the Foundation decided to support comprehensive youth development through a place-based or neighborhood-based approach to grantmaking. Prior to the neighborhood initiative, the Kauffman Foundation was indirectly providing funding and supports to the Ivanhoe neighborhood through funding for several organizations (e.g., Project Neighborhood) that were working in the neighborhood. In the early 1990’s, the Kauffman Foundation helped to co-support the Neighborhood Centered Initiative. This provided funding to Project Neighborhood to enhance capacity and supports in three of the highest crime neighborhoods in Kansas City, Missouri, which included Ivanhoe.

University-Based Support Organization

In 2000, the KU Work Group for Community Health and Development at the University of Kansas became involved with INC through a request from the Kauffman Foundation to help evaluate and support the Neighborhood Initiative. The KU Work Group was invited by the Kauffman Foundation to work with neighborhood leaders to help build capacity and support in fostering community change in the Ivanhoe neighborhood. The primary function of the KU Work Group was to work with neighborhood leaders as a collaborative partner to support the development and implementation of strategic plan, as well as to provide technical assistance in the documentation and evaluation of the community

change process in the neighborhood. The core focus of the KU Work was to provide documentation and evaluation supports to both the neighborhood and the granting agency.

The desired relationship between the neighborhood organization, the grantmaker, and the research organization was consistent with the principles of community-based participatory research (CBPR). All three entities attempted to work together to analyze and solve community problems. Both the Kauffman Foundation and the KU Work Group committed to being co-learners with the community coalition. The intended outcomes of this approach, through shared responsibility among the three parties, were to enable organizational development, residential empowerment, and neighborhood change.

The collaborative responsibilities and roles of the three parties were agreed upon and formally indicated through a written memorandum of understanding (MOU). The shared roles and responsibilities of the three entities in carrying out key aspects of the neighborhood collaboration are summarized in Table 1. The MOU also outlined the intervention components of the comprehensive community change initiative.

Measurement System

This study used several evaluation methods and related measures to examine the effects of the implementation of the community change framework on rates of community change facilitated by INC. This study used a documentation system to record discrete instances of community change over time. Qualitative methods

Table 1. Memorandum of Understanding Among Collaborator Partners in the Community

Change Initiative

Framework Component	Associated Factors	Elements for Collaborative Partnership		
		Community Coalition	Support Organization	Granting Agency
Community Assessment and Collaborative Planning	Developing the Vision, Mission, and Objectives	-Establish clear vision -Select broad purpose & goals	-Support analysis of the problem -Help frame objectives -Help identify community-level indicators	-Help find appropriate funders. -Offer long-term support -Provide more holistic, less categorical investments
	Developing a Strategic Plan	-Identify specific changes -Develop inclusive planning process -Organize action committees	-Inform of "promising practices" -Support early stages of action planning	-Broker community relationships with others in the field. -Assist in facilitating broader system-level changes.
Community Action and Intervention	Developing and Supporting Leadership	-Identify & support leadership -Support the development of organizational staff.	-Provide skills training using personal assistance, support groups. -Develop new leadership.	-Help access resources for leadership development. -Provide resources for organizational staff.
Community and Systems Change	Documentation and Feedback	-Gather information on changes -Review data	-Establish & maintain documentation system focused on tracking intermediate outcomes related to the mission	-Request information on progress made. -Work with other funders to accept same data
	Ensuring Technical Assistance	-Acquire help from organizations with knowledge -Increase own technical assistance capacity	-Assist in implementing & documenting the work. -Provide training materials and/or workshops.	-Fund support organizations. -Foster relationships between support organizations & community partnerships.
Improvements in Neighborhood-level outcomes	Securing Financial Resources	-Provide information on community investments	-Assist in analyzing, interpreting, & communicating documented data	-Request long-term comprehensive proposals -Broker connections with funders
	Making Outcome Matter	-Submit annual status report	-Assist in analyzing, interpreting, & communicating documented data	-Renewal based on progress -Provide bonus grants & outcome dividends

(e.g., interviews) and surveys were also used to assess the community change process. Archival records of targeted indicators were used to further examine community-level outcome data prior to and after the four-year study period. Table 2 summarizes each measure and briefly describes the measurement instruments used in the study for each of the five evaluation questions.

Documentation of Community Change

The KU Work Group's Online Documentation and Support System (ODSS) is an internet-based data reporting and measurement tool used to monitor and provide feedback. As a method of ongoing process and outcome evaluation, the ODSS is used to examine the unfolding of the implementation of a community-based effort over time. The ODSS was developed by the KU Work Group to support the systematic documentation and participatory evaluation of community-based efforts for change and improvement (Francisco, Paine, and Fawcett, 1993).

The primary unit of measurement for documentation of implementation efforts for the community coalition was "community and system change". Community and system change is defined as a new or modified program, policy, or practice facilitated by the initiative related to the goals and objective of the initiative (Francisco et al., 1993; Fawcett et al., 1995). Community change, such as a new after-school program, is typically the product of multiple behaviors (community actions) of multiple actors. Definitions and scoring instructions were used to further clarify instances (and non-instances) of community changes in this neighborhood initiative (see Appendix A).

Documented instances of community change data were based on self-reports from community documenters who represented the organization (i.e., committee chairs, community mobilizers) as well as partnering agencies. Community changes facilitated by the

Table 2. Evaluation Questions and Related Measures for the Change Effort

Evaluation Question	Type of Measure	Measurement Instrument/Definition
1) To what extent did the community coalition serve as a catalyst for community change?	Community and System Change (CC)	Quantity of new or modified program, policy or practice in the community facilitated by the community coalition documented in the Online Documentation and Support System.
2) What factors (processes) were associated with accelerated rates of community change?	Importance and satisfaction of key leaders with community processes	Paper and pencil survey administered to key leaders to assess importance and satisfaction with the processes (factors) facilitated through the comprehensive community change initiative.
	Critical events	Semi-structured interview to identify factors and events that were critical to the development, implementation, and sustainability of coalition activities.
3) How did the community coalition contribute to improvements in the neighborhood?	Community and System Change (CC)	Type and distribution of new or modified programs, policies, or practices facilitated by the community coalition documented in the Online Documentation and Support System analyzed for contribution by goal, strategy, sector and target.
	Impact of community changes	Paper and pencil survey administered a survey of outcomes to key leaders to assess impact of community changes implemented by the coalition on the community.
4) Have there been improvements in targeted community-level outcomes?	Permits for housing construction and improvements	Archival data record review from the Kansas City, MO Planning Department of the percent change in number of permits for (a) new housing construction and (b) home improvements including additions, alterations, and repairs for housing units in the target area.
	Total loan request for home purchases	Archival data record review from Cityscope (University of Missouri, Kansas City) of annual residential mortgage lending data for the total number of loan request for home purchases in the target area.
	Crime rate for violent and non-violent crimes (per 100 residents)	Archival data record review from the Kansas City, MO Planning Department of the violent and non-violent crime rate in the target area.
5) What evidence is there of enhanced leadership capacity of the community coalition to support community change and improvement?	Residents participating as block contacts	Number of residents that annually participate in the block contact program.
	Resident Participation at monthly coalition meetings	Frequency of resident participation at monthly coalition meetings.
	Staff growth	Number of paid staff members that work for the community coalition.

initiative were gathered through both retrospective (1999) and prospective (2000-2002) data collection. Retrospective data were collected through semi-structured interviews and a review of archival records (i.e., meeting minutes, newspaper articles). Retrospective data prior to the formal reestablishment of INC was gathered based on reports from longstanding community residents (e.g., Alan and Yolanda Young) and partners (e.g., Move-Up, Front Porch Alliance). The prospective data were collected using the documentation system; either through direct input in the internet system by organizational representatives (resident committee chairs, staff, and partnering agency-FPA) or manual log forms. Manual log forms were submitted by some resident committee chairs for input into the ODSS by organizational staff.

The KU Work Group researcher (the author) initially provided training with individual community documenters in using the definitions for community change, scoring instructions, and protocol for entering data using the ODSS. For the first several months of project implementation, the KU Work Group evaluation staff person provided direct physical support to the community documenters when entering data or completing manual log forms to enable immediate data entry and scoring clarification. As individual community documenters demonstrated consistency in data entry and scoring, the neighborhood documenter became the primary coder and the KU Work Group researcher served as the secondary independent coder. The KU Work Group evaluator consistently provided monthly feedback to community documenters (i.e., committee chairs, staff, and key partners) through either phone calls or personal interviews to clarify recorded entries and codes and to assess the completeness and accuracy of system entries.

Analysis of Contribution for Documented Accomplishments

Documented community changes were further analyzed for their contribution to the effort. This secondary analysis of coded community changes examined the distribution by: (a) neighborhood-determined goal areas (e.g., adult development, beautification, crime and safety, economic development, health, housing, youth development), (b) action plan change objectives (e.g., increase regular communication with community officers, schedule regular neighborhood clean-ups), (c) behavior change strategy used to implement community change (e.g., providing information, modifying policies), (d) estimated duration (e.g., one-time event, ongoing), and (e) community sector in which the change occurred (e.g., business, faith community). The secondary analysis of community changes aids in exploring the working hypothesis about the conditions under which community changes, as an intermediary marker, may be related to improvement in more distant population-level outcomes (Fawcett et al., 1999; Roussos & Fawcett, 2000); that is, whether community changes are of sufficient amount, intensity of strategy, duration, and penetration.

Reliability and Verification of Documented Events

The reliability for scoring of community and system changes was based on the individual scoring of reported events by two independent observers. Inter-observer reliability was based from the independent scoring of documented events by two observers. Inter-observer agreement was calculated by dividing the number of agreements by the total number of instances (agreements and disagreements) and multiplying by 100. The standardized Kappa measure for inter-observer reliability was set at 85% or above. The rate of inter-observer agreement for this initiative was 95% for overall community changes. The accuracy of recorded events was also further verified through review of archival records (i.e., meeting minutes, newsletters) and informal reports of community members and partners.

Qualitative Assessment of Community Processes

Semi-Structured Qualitative Interviews

Semi-structured qualitative interviews (N=12) were conducted with organizational staff, board members, neighborhood residents, and key partnering organizations. The personal interviews with the community members were conducted by KU Work Group staff. The qualitative interviews were critical in assessing organizational assets and strengths, as well as barriers to community efforts. The interviews examined both critical events and broader contextual features and processes such as leadership and action planning, which were influential in facilitating community and system change in the Ivanhoe neighborhood (see Appendix B).

Survey of Importance and Membership Satisfaction with Community Processes

The KU Work Group evaluator also conducted a survey with designated community members and organizational representatives, including representatives from the coalition, the support organization and the funding agency. Key leaders of the initiative completed a survey rating the facilitation of the key community processes by the initiative over the three-year period (1999-2002). Survey participants (N=9) completed a questionnaire rating the importance of the implementation of the 12 key community processes (e.g., strategic planning) facilitated for INC. Participants were also asked to rate their satisfaction with the development and implementation of the key processes. Finally, survey participants rated the impact of the community change effort on the facilitation of community and system change by the coalition (see Appendix C). The survey was based on a five-point Likert-type scale (e.g., 1, no impact to 5, great impact).

Survey of Outcomes to Assess the Impact of Documented Community Changes

The KU Work Group evaluator also conducted a survey of outcomes with the designated community members and organizational representatives that participated in the semi-structured interview process (N=8). The survey assessed the impact of community and system changes facilitated by the initiative relative to the organizational goals identified in the strategic plan (see Appendix D). Organizational representatives including staff, board members and committee chairs completed a survey rating the impact of accomplishments (community and system changes) facilitated by the initiative over the three-year period. The survey was based on a five-point Likert scale rating accomplishments from no impact (1) to great impact (5) on the neighborhood.

Assessment of Permanent and Archival Records as Outcome Measures

Measures of Organizational and Leadership Capacity

The KU Work Group researcher reviewed permanent records of the INC to examine several measures of leadership capacity facilitated by the initiative. Permanent records of meeting minutes, meeting attendance logs, block contacts and staff listings, newspaper articles, and newsletters were reviewed for the period between 1999 and 2006. The permanent records were assessed to examine measures of organizational and leadership capacity of the community coalition by assessing levels of participation of residents and staff. The indicators for leadership capacity that were assessed included: resident participation in coalition meetings, resident participation as block contacts, and hired staff.

Measures of Community-level Outcomes

The KU Work Group researcher measured several outcomes to examine potentially broader effects of the community change effort. The two areas that the community coalition prioritized with community-level data measures were crime and housing. First, the annual

crime rate (per 100 residents) was assessed from 1998-2003 using data from the Kansas City, MO Planning and Development Department. The annual crime rate and related offenses for both violent and non-violent crimes were examined. Second, annual building permit data were obtained from the City of Kansas City, MO Planning and Development Department. The building permit data were assessed to determine changes in housing construction and home improvements between 1998 and 2003. Third, data on annual housing loan applications for home purchases in Ivanhoe were obtained through Cityscope, a community data source supported by the University of Missouri-Kansas City, and reviewed from 1997 to 2004.

Intervention- - Implementation of the Community Change Framework and Related Processes

Upon funding from the Kauffman Foundation, the KU Work Group provided support to INC in implementing the community change framework, as guided by the Memorandum of Understanding (see Table 1). In its role as a technical support organization for the initiative, the KU Work Group recommended attention to seven factors or facilitating conditions for the community change process (Fawcett et al., 2000b). The seven factors or processes specified in the MOU included: (a) Establishing a clear vision, mission, and objectives; (b) Developing an action plan; (c); Developing and supporting leadership; (d) Documenting progress and providing feedback,; (e) Securing and providing technical assistance, (f) Securing and providing financial resources; and (g) Making outcomes matter. However, INC also implemented the other five community processes associated with the community change framework including (see Figure 1): (a) Analyzing information about the problem or goal; (b) Developing an organizational structure and operating mechanism; (c) Developing a framework or logic model; (d) Arranging for community mobilizers; and (e) Implementing effective interventions.

Table 3: Components and Elements for the Community Change Framework

Used by the Initiative

Process Intervention Component	Implementation Element(s)	Mode of Delivery
Analyzing information about the problem or goal	<ul style="list-style-type: none"> • Focus group with community residents • Neighborhood-defined problems and goal areas • Community survey of goals • Collection of community-level data • Analyzed and used data for decision-making 	<ul style="list-style-type: none"> • FOCUS Neighborhood Assessment conducted by the City of Kansas City Planning Department • Strategic planning workshop conducted by KU Work Group
Establishing a vision and mission	<ul style="list-style-type: none"> • Engagement of community residents and collaborating organizations in developing a vision and mission 	<ul style="list-style-type: none"> • Strategic planning workshop conducted by KU Work Group
Developing and using strategic plans	<ul style="list-style-type: none"> • Development of objectives, strategies, and action steps by neighborhood residents and collaborative partners • Completion & adoption of strategic plan • Implementation of action plan through goal-focused committees • Monthly updates and adjustments to action plan by committees 	<ul style="list-style-type: none"> • Development of written strategic plan • Integration of action plan in committee agenda and meeting process by the Ivanhoe Neighborhood Council
Developing a framework or model of change	<ul style="list-style-type: none"> • Supported KU Work Group's Theory of Change 	<ul style="list-style-type: none"> • Community change framework proposed by KU Work Group
Defining organizational structure and operating mechanisms	<ul style="list-style-type: none"> • Established committees • Expanded board of directors and expanded committees, with identified co-chairs • Acquired 501(c)3 IRS status • Identified lead organizations to co-support community activities • Hiring of organizational staff (e.g., executive director, community mobilizer). 	<ul style="list-style-type: none"> • Ivanhoe Neighborhood Council Board of Directors • Ivanhoe Neighborhood Council staff • Project Neighborhood/Move-Up and Front Porch Alliance served as lead organizations during the formative stages
Arranging for community mobilizers	<ul style="list-style-type: none"> • Residents serve as informal mobilizers and champions • Mobilizer assigned to Ivanhoe through Project Neighborhood/ Move-Up • Formal hiring of mobilizer by INC • Mobilizer supported block contacts and committee chairs 	<ul style="list-style-type: none"> • Leveraged community mobilizer support from partnering organizations (e.g., Move-Up) • Coalition hired a mobilizer • Trained residents to serve as block-level contacts (informal mobilizers)
Developing leadership	<ul style="list-style-type: none"> • Resident-based board of directors • Residents served as committee chairs • Established block-level contacts • Supported block-leader training • Leaders attended National Community Builders Conference • Formal hiring of staff 	<ul style="list-style-type: none"> • Block contact training provided by Kansas City Neighborhood Alliance, Kauffman Foundation, and Move-Up • Kauffman supported leadership training opportunities • Kauffman provided funds for staff hiring

Process Intervention Component	Implementation Element(s)	Mode of Delivery
Implementing effective interventions	<ul style="list-style-type: none"> • Implementation of strategic plan • Collaborators/partners support program implementation • Secured volunteer support in implementing programs • Establish formal block contact program and training 	<ul style="list-style-type: none"> • Action committees, resident leaders, staff, and community collaborators supported plan implementation
*Assuring technical assistance (TA)	<ul style="list-style-type: none"> • TA provided by lead partners (i.e., Move-Up and FPA) • KU Work Group provided TA to board, committee chairs and community mobilizer through Kauffman resources • Received TA from other TA providers (e.g., Kauffman, LISC) • Mobilizer provided TA to residents 	<ul style="list-style-type: none"> • Project Neighborhood/Move-Up provided TA to the coalition • FPA provided TA by supporting programs and providing office space • KU Work Group provided TA to coalition leaders and committees • Leveraged targeted supports from other TA providers in the City • Hired mobilizer provided T.A. to residents and committees
*Documenting progress and using feedback	<ul style="list-style-type: none"> • Monthly documentation of accomplishments and retrospective data by lead partners • Monthly documentation of accomplishments by committee chairs and community mobilizer • Monthly feedback by KU Work Group to committee chairs • Reported documented activities to committees and funder 	<ul style="list-style-type: none"> • Online Documentation and Support System • Manual log forms • Feedback provided through supportive contact
*Making outcomes matter	<ul style="list-style-type: none"> • Funding provided to the coalition by the Kauffman Foundation after strategic plan completed • Reporting documented accomplishments to committees, coalition, and funder • Using Memorandum of Understanding to set conditions for collaboration • Recognition of committee chairs and block contacts 	<ul style="list-style-type: none"> • Kauffman Foundation provide a 3-year grant to the coalition after completion of the strategic plan • Quarterly reporting of documented accomplishments by committee chairs • Agreed upon Memorandum of Understanding (MOU) • Annual recognition dinner for block contacts and committee chairs
*Sustaining the Work, including securing financial resources	<ul style="list-style-type: none"> • Leveraged indirect funding and resources • Received funding to support the coalition • Direct funding provided by the Kauffman Foundation to the coalition to implement the plan • Kauffman Foundation provided transitional support and funding after the project ended • Coalition sustained community changes after the neighborhood initiative ended 	<ul style="list-style-type: none"> • Established collaborations that provided indirect support (e.g., Kansas City Power and Lights) • Kauffman Foundation provide a 3-year grant to the coalition after completion of the strategic plan • Ivanhoe Neighborhood Council leveraged additional resources and supports to sustain the initiative after the project funding ended

This research study focuses on the full implementation of the community change framework by INC between 1999 and 20002. As shown in Table 3 above, a set of intervention components or supports was implemented by the initiative in each phase of the framework. Each phase notes actions that might be taken by community-based organizations to mobilize residents and partners in response to identified issues and concerns. The intervention described in this study focused on implementation of the 12 identified processes that the literature suggests may be associated with capacity for a community-based initiative to facilitate community change (Fawcett et al., 2000a; Wolf, 2001; Foster-Fishman et al., 2001). The components though described individually are iterative, interactive, and potentially simultaneous processes. Figure 1 (on page 8) depicts the five-phase framework, and related community processes.

Phase 1: Assessment and Collaborative Planning

The Ivanhoe neighborhood has a history of working on community issues through collaborative planning. In former years, prior to the dormancy of the organization, INC engaged residents, churches, and partnering community organizations in the planning and development of community projects such as Ivanhoe Gardens, a housing complex, and the Bruce R. Watkins Freeway. During the 1990's, the Ivanhoe neighborhood began to experience an influx of support from other partnering organizations and residents including Project Neighborhood/Move-Up, Kauffman Foundation, Kansas City Power and Light, Village Presbyterian Church/Front Porch Alliance, Linwood Project, Inc., Habitat for Humanity, Kansas City Neighborhood Alliance (KCNA), J.B. Nutter and Company, Local Initiative Support Corporation (LISC), and the City of Kansas City, MO. Through both formal and informal collaborative planning, the Ivanhoe neighborhood worked with key

partners on community issues pertaining to crime, housing, neighborhood improvement, and youth development.

Analyzing information about the problem or the goal. In February of 1999, the Ivanhoe neighborhood and other surrounding neighborhoods, including Key Coalition and Mount Hope, participated in the FOCUS Neighborhood Assessment, a neighborhood planning process initiated by the City of Kansas City, MO. The assessment process included a workshop and focus group with neighborhood residents. At the workshop, there were 71 participants who represented neighborhood residents, businesses, and organizations. This was one of the initial large-scale collaborative planning efforts that marked the reemergence of INC. This assessment was instrumental in helping the neighborhood to identify and prioritize neighborhood issues and concerns.

In the workshop, community residents and partners identified assets, issues, and priority concerns. This meeting was the onset for neighborhood planning in the community and broader resident engagement in the organization. Through the focus group, residents identified the following primary concerns: housing development, crime, and youth programs and services. The focus group served as the initial basis for later planning efforts and engagement of community partners.

Ivanhoe neighborhood residents also engaged in a couple of activities facilitated by the KU Work Group to assess or further validate levels of the problem of identified issues of concern (e.g., crime, housing). In October of 2000, a survey of goals based on proposed community changes to be facilitated by the coalition was mailed to area residents (N= 4,000) for prioritization and feedback. The survey was mailed to constituents of the organization (e.g., neighborhood residents) to provide an opportunity for resident input in the selection of goals to be prioritized in the implementation of the strategic plan. The results of the returned

surveys (N=58), largely from active members of the Council, were tabulated by the KU Work Group and the community change goals were prioritized in the implementation of the strategic plan.

Developing a strategic plan. In 2000, INC began its first strategic planning process, in collaboration with the Kauffman Foundation and the KU Work Group for Community Health and Development. The strategic planning workshop engaged approximately 85 residents and partners further expounding on the issues and concerns identified in the FOCUS Assessment. The strategic planning session, which was held at the Kauffman Foundation, followed the VMOSA process; that is, developing vision, mission, objectives, strategies, and action plans. Through the one-year strategic planning process, INC developed the first formalized strategic plan for the neighborhood.

The Ivanhoe neighborhood's strategic plan identified four main goal areas to guide future work: beautification, housing and economic development, crime and safety, and family and youth development/education. For each goal area, specific objectives, strategies, and action steps were developed. For example, for the goal area of crime and safety, there were specific objectives (e.g., By December 2002, there will be a 40 percent increase in the number of block contacts who regularly communicate with persons from the law enforcement network to reduce area crime) and strategies (e.g., Distribute cards of assigned neighborhood police officers to block contacts to enhance police outreach). The strategic plan consisted of over 100 specific community changes to be sought related to the goal areas (e.g., crime and safety) that were prioritized by the neighborhood. Neighborhood residents and partnering organizations formed action committees around the goal areas to facilitate ongoing engagement and adjustments. The coalition integrated the review of the action plan into the

regular agenda of each monthly committee meeting to guide the work of the committee and to ensure ongoing updates, feedback, accountability and adjustments for the coalition's efforts.

Establishing a vision and mission. During the strategic planning process facilitated by the KU Work Group, a clear vision and focused mission for INC was established. The vision for the effort was: "Thriving Neighborhoods in Harmony". The mission was: "Building clean, beautiful, safe, thriving neighborhoods for healthy families and youth through trusting cooperative relationships".

Developing a framework or model of change. The Kauffman Neighborhood Initiative facilitated KU Work Group's community change model. As shown in Figure 1, the framework suggests that assessment and collaborative planning leads to community action and intervention resulting in community and system change, which helps to improve population-level outcomes. The framework was shared with coalition leaders (e.g., committee chairs, board members) as part of the strategic planning process and training in using the Online Documentation and Support System (ODSS). The implementation of the change model was further based on the Memorandum of Understanding that was grounded in different collaborative roles for facilitation of the community processes (e.g., developing an action plan, supporting leadership) that was used to guide the collaborative work.

Defining organizational structure and operating mechanisms. The non-profit structure of the organization was defined by the resident leaders. In mid-1998, INC began to regularly convene monthly meetings. The coalition was governed by the board, which consisted totally of neighborhood residents until 2003 when the board was expanded to include a limited number of organizational and community representatives. Residents also served as the chair of committees. Although the coalition had committees prior to the

Kauffman Neighborhood Initiative, in 2000 the committees were expanded and began to meet more regularly to support the development and implementation of the strategic plan.

Prior to staff hiring, several organizations helped to support the INC and provided an infrastructure for operating the organization. Between 1999 and 2001, Move-Up and Front Porch Alliance assumed a lead partner role and were instrumental in providing resources (e.g., office space) and supports (e.g., assisted with preparations of an application for 501(c)3 IRS Designation) to the INC. Between 2000 and 2001, the KU Work Group also provided support to the initiative in developing organizational bylaws, a logo, and other organizational materials. Both Jessie Jefferson with Move-Up and John Cyprus and Jerry Schultz with the KU Work Group provided support to the action committee chairs.

Between 2001 and 2002, the internal capacity of the organization was enhanced through the hiring of staff (e.g., executive director, community mobilizer) with funding from the Kauffman Initiative. In 2001, Margaret J. May was hired as the first executive director for the organization. The executive director was responsible for overseeing the daily administration of the organization, making recommendations to the board regarding the coalition's efforts, and representing the organization in the broader community. In 2002, a community mobilize, Jessie Jefferson and an office assistant, Joanne Colon, were hired. The primary function of the community mobilizer was to provide support to the committee chairs and the block contacts and to coordinate mobilization activities (e.g., clean-ups, co-facilitation of block meetings) in the neighborhood. The office assistant was also hired to provide clerical and administrative support for the executive director and community mobilizer. In 2002, the INC also acquired its own office space.

Implementing Targeted Action

INC facilitated targeted action to support the implementation of the strategic plan. INC promoted a bottom-up approach to community mobilization through grassroots-based leadership development and governance.

Developing leadership. The continued development of neighborhood and organizational leadership was necessary to support the facilitation of community action and intervention. Many of the board members and committee chairpersons had very little experience in capacity-building or organizational management. Neighborhood residents were encouraged to serve as board members, committee chairs, and block contacts to provide opportunities for resident-based leadership. In 1998, the board president set a goal of obtaining a block captain or contact for each of the 452 blocks in the neighborhood to enable neighborhood mobilization. Between 1999 and 2002, block contacts were actively recruited through mobilization efforts supported by both Yolanda Young (board member) and Jessie Jefferson (paid community mobilizer).

Community capacity- building activities (e.g., board member training, block contact workshops) provided support for resident leaders in the community change process. In 2000 and 2001, the Kauffman Foundation ensured that representatives from the organization attended the National Community Builders Network conference, which helped to support the leadership development of the board. In 2001, the organization supported the first formal training for block contacts in the neighborhood through co-support of the Kansas City Neighborhood Alliance, Kauffman Foundation, Move-Up, and the KU Work Group.

Between 2001 and 2002, INC formally hired three staff members including an executive director, community mobilizer, and office assistant. The hiring of staff allowed for more distributed leadership among the board and lead partners.

Arranging for community mobilizers. The provision of a paid community mobilizer was critical to the development of the organization. Between 1999 and 2001, the INC maintained the presence of a paid community mobilizer through either formal or informal arrangements with collaborative organizations. Through engagement with Project Neighborhood/ Move-Up, the INC always had access to a paid mobilizer designated to work in the Ivanhoe neighborhood. Between 1999 and 2001, Jessie Jefferson served as the community mobilizer for the neighborhood through Move-Up, and she worked closely with Alan Young and INC to mobilize both the neighborhood organization and the community.

In 2002, INC directly hired a community mobilizer to help support and facilitate the coalition's efforts. The mobilizer was responsible for training and supporting the block contacts and committee chairs. The mobilizer worked with the block contacts and the neighborhood residents to develop individual block plans. The mobilizer worked closely with committee chairs to help facilitate actions to be taken by the committee. The mobilizer also helped to advocate (e.g., file complaints, provide resources) for the needs of neighborhood residents and the broader community. The mobilizer that was formally hired by the INC was the same individual (Jessie Jefferson) that served as the mobilizer for the neighborhood through Project Neighborhood/ Move-Up.

INC has also had residents that have assumed roles as informal community mobilizers. For instance, between 1998 and 1999, Yolanda Young (board member and wife of Alan Young) was instrumental in mobilizing the community and recruiting residents to serve as block contacts. The block contacts also served as mobilizers for their targeted block by supporting activities to engage other residents in activities, such as helping seniors with minor home repairs, to foster change and improvement on their block.

Community and Systems Change

Table 4 shows that the INC facilitated a number of community changes including new or modified (a) programs (e.g., developed a block contact training program), (b) policies (e.g., helped prevent the renewal of an amusement license for a nightclub located in the neighborhood), and (c) practices (e.g., community police officers began publishing their contact information in the coalition newsletter) targeted at neighborhood change and improvement. The working hypothesis is that changes in the community will be associated with improvements in neighborhood-level outcomes when community changes are of sufficient: (a) amount by goal area, (b) intensity of behavior change strategy, (c) duration, and (d) penetration to targets through different sectors of the community.

Table 4 shows an illustrative set of community changes by goal area. Community changes were facilitated in the neighborhood to address different goal areas (e.g., adult development, beautification, crime and safety, economic development, health, housing, and youth development) through the implementation of various strategies involving multiple sectors of the community. The five basic strategies employed were: (a) barrier removal and enhancing access and opportunities, (b) changing consequences, (c) changing policies, (d) enhancing services and supports, and (e) providing information and enhancing skills. Based on the working hypothesis, community change may serve as an intermediary marker for more distant outcomes when of sufficient amount, intensity of strategy, duration, and penetration (Fawcett et al., 2000a; Roussos & Fawcett, 2000; Paine-Andrews et al., 2002).

Table 4. Illustrative Community Changes Facilitated by Ivanhoe Neighborhood Council

Neighborhood-Determined Goal Areas	Illustrative Community Changes (New or Modified Program, Policy, or Practice)
A.) Adult Development	<ol style="list-style-type: none"> 1.) Two parents/residents attended Front Porch Alliance (FPA) parenting classes. First time FPA (collaborative partner) had parenting classes for Ivanhoe residents (new program). 2.) New block contact held 1st block meeting with residents at 38th and Flora (new practice). 3.) Community Resources Fair held at Mount Sinai Baptist Church for community residents (new program).
B.) Beautification	<ol style="list-style-type: none"> 1.) In effort to reduce illegal tire dumping in the neighborhood 36 "No more tires" signs were placed around neighborhood (new practice). 2.) New collaborative partnership between Ivanhoe Neighborhood Council and Sprint volunteers to paint homes of elderly residents each year (new practice). 3.) First time for the City and a neighborhood association to implement Clean Sweep program in partnership with national faith networks - upwards of 1,200 volunteers joined forces as part of a special mission work initiative (new practice).
C.) Crime, Safety, & Health	<ol style="list-style-type: none"> 1.) Collaborative partnership between law enforcement, Legal Aid, and Ivanhoe residents resulted in blocked expansion of the Red Door Lounge and denial of an amusement license for the owner (modified policy). 2.) CAT Team pager number published in newsletter for Officer Daneff (913-644-7288) and Officer Tomanio (914-688-2001) to increase communications and relations between officers and residents regarding illegal activities (new practice). 3.) New collaborative partnership between Ivanhoe Neighborhood Council and Prosecuting Attorney's office resulted in Assistant Attorney assigned to call Ivanhoe about cases that may pertain to the area and regularly attend monthly neighborhood meetings (new practice).
D.) Economic Development/ Job Creation	<ol style="list-style-type: none"> 1.) Front Porch Alliance and Ivanhoe Neighborhood Council sponsored new program offering Financial Literacy classes to Ivanhoe residents (new program). 2.) Metropolitan Baptist Church is conducting an 8-week Institute on Credit Counseling and Long-term Investment (new program). 3.) Partnered with the Full Employment Council to implement a summer/youth employment program, employing 15 Ivanhoe Youth (new program).
E.) Housing	<ol style="list-style-type: none"> 1.) Kick-off partnership between Front Porch Alliance and Kansas City Power and Lights to repair and replace roofs of four homes occupied by older adults (new practice). 2.) First-time Housing Fair featuring work in Ivanhoe as the example for community development modeling for the Third District of Kansas City, MO (new program).
F.) Family, Youth Development, and Education	<ol style="list-style-type: none"> 1.) Youth representatives from the area (churches) were brought together to participate in a 3 series forum, which resulted in the development of the Ivanhoe Youth Council and Life- learning Institute (new program). 2.) Ivanhoe youth participated with Police Athletic League (PAL) in flag football league for 10-week program. This program helps develop relationships between youth and officers (new program). 3.) Front Porch Alliance partnered to help support a school-based tutoring program with 100 students and 120 volunteers (new program). 4.) Block captains identified senior citizens in their neighborhood with no family or other support who may benefit from friendly volunteer visits (new practice).

Implementing effective interventions. Table 3 displays how INC initiated community action and intervention through the implementation of the strategic plan. INC focused on the implementation of over 100 community change strategies identified in the strategic plan. The organization served as a catalyst for change by prompting and supporting behaviors related to the implementation of the community change strategies. For example, the organization met with various businesses (e.g., Habitat for Humanity, Kansas City Power and Lights, J.B. Nutter and Company) and advocated for resources (e.g., employee volunteers, street light installation) to support housing and beautification improvement projects. The facilitation of community action and intervention was based on combined efforts of individual residents and partnering members and organizations across the various goal areas. For instance, preparation for the Volunteers in Mission event, a week-long faith based volunteer effort of more than 1,200 volunteers from United Churches of Christ, required collaborative planning, advocacy, and resource allocation, from many different entities (e.g., churches, city offices), partners (e.g., Front Porch Alliance, Move-Up), and residents (e.g., city officials, neighborhood volunteers). Further, advocating for funding, such as Community Development Block Grant funds from the City to pay for regular mowing of vacant lots by neighborhood youth, helped provide resources for actions taken.

Ongoing recruitment and engagement of partners (e.g., Habitat for Humanity, National Council for Alcohol and Drug Dependency (NCADD), Full Employment Council) and residents was an important strategy in implementing community change. The grassroots block-level infrastructure enabled through the network of block contacts was a critical strategy for implementing and disseminating interventions throughout the neighborhood. The block contacts served as the eyes, ears, hands, and feet of the neighborhood and supported a variety of tasks including (a) providing information and referrals to resources, (b) reporting

undesirable block-level activities (e.g., suspected crime), (c) working with residents to develop block plans, and (d) coordinating block-level activities such as meetings and regular clean-ups. The block contacts provided a network of support especially in implementing activities related to the goal areas of beautification (e.g., neighborhood clean-ups, reporting of illegal dumping) and crime (e.g., systematic reporting of suspicious activities).

Assuring technical assistance. Prior to the formal hiring of organizational staff in October 2001, several organizations provided technical assistance to INC to support administrative roles and responsibilities necessary to enhance the functioning of the community coalition. Between 1999 and 2001, Move-Up, Front Porch Alliance, and the KU Work Group provided separate and complementary technical support to the INC. Move-Up/Project Neighborhood provided support to the organization by helping to co-facilitate community mobilization activities. For instance, the community mobilizer from Move-Up worked with resident leaders to support the development and recruitment of block contacts. Staff from Move-Up also provided technical support to the organization by providing information and referrals to organizational leaders to help broker relationships with other key organizations and agencies in the community. Between 2000 and 2001, the community mobilizer from Move-Up provided direct support to the organization by working with the board to fulfill many of the organizational and staff needs prior to formal staff hiring.

Similarly, Front Porch Alliance also provided technical assistance to INC through organizational, programmatic, and financial support. Front Porch Alliance, a faith-based group, provided a range of technical supports including assistance to INC in developing their application for 501(c)3 designation by the Internal Revenue Service. Front Porch Alliance also provided support to the organization in co-supporting the development and implementation of youth-related programs (e.g., school-based tutoring) and activities (e.g.,

back-to-school fair). Front Porch Alliance arranged for shared office space and supplies for the INC.

INC also received support from other local technical assistance providers that were funded to work in the Ivanhoe neighborhood to support block-level mobilization activities. For instance, in November of 1999, the Local Initiative Support Corporation (LISC) and Move-Up were funded by the Kauffman Foundation to provide technical assistance to INC in implementing the Building Blocks program. Also, in 2001 Kansas City Neighborhood Alliance facilitated a one-day training workshop for neighborhood block contacts (i.e., captains) and technical assistance to support INC in block-level mobilization efforts.

Based on the partnership arrangement specified in the MOU, the KU Work Group provided technical assistance to the coalition to help develop, implement, and adapt the strategic plan. Through this initiative, a John Cyprus and Jerry Schultz full-time staff and a graduate research assistant (the author) was engaged in providing technical support to INC. Technical assistance was provided to action committees, and support was available to document community changes and make adjustments based on feedback to the organization. Between May and August 2000, the KU Work Group met bi-weekly with the action committees to develop specific objectives and action steps, as well as preliminary indicators. The KU Work Group also helped to develop organizational materials including a logo and website and provided models and templates of organizational documents such as bylaws and action plan guides. The KU Work Group provided technical assistance to the committee chairs and community mobilizer in documenting the community change process and in presenting reports and graphs to the committee and coalition members. Internet-based support was also provided to the coalition by the KUWG through the Community Tool Box (<http://ctb.ku.edu>) as a tool for connecting people, ideas, and resources.

Documenting progress and using feedback. INC facilitated many discrete community changes (i.e., new or modified programs, policies, or practices related to the mission) that were captured by the Online Documentation and Support System (ODSS). The ODSS was used to capture the coalition's efforts. The committee chairs and the community mobilizer served as the primary coders and were responsible for monthly documentation of the committee's efforts. The primary unit of measurement that was consistently documented was community and system change (i.e., new or modified programs, policies, or practices facilitated by the group and related to its mission). As indicated by the framework, community and system change may be an intermediary outcome or indicator of improvement in more distal community-level outcomes (e.g., crime rate). The KU Work Group evaluator provided monthly feedback to the committee chairs and the community mobilizer on the documented entries. The feedback was based on a protocol for supportive contact to help ensure completeness and accuracy of documented entries. The feedback also served as a prompt to begin discussion of community actions to be taken in the upcoming months. The documented data were shared quarterly with the organization either in the committee or coalition meetings.

Widespread Behavior Change and Improvements in Community-level Outcomes

The ultimate goal in implementing the community change framework—including collaborative planning, action, and resulting changes in communities and systems—is improvement in behavior and risk and protective factors and community-level outcomes. INC implemented a variety of community change interventions with the aim of improving community-level outcomes through widespread change in multiple behaviors (e.g., resident reporting of illegal activities, resident participation in change efforts) of multiple actors (e.g., residents, faith-based organizations, businesses, and the coalition).

Making outcome matter. There were several strategies that were implemented through this community change effort to make the outcomes matter. First, a Memorandum of Understanding (MOU) was developed by the three interrelated parties (Kauffman Foundation, KUWG, and INC) to help make outcome of the initiative matter. Table 1 outlines the MOU, or “social contract” that summarizes the primary roles and responsibilities of the three parties and helped to set conditions for the success of the effort. Second, the allocation of direct funding to INC by the Foundation was contingent on the completion of the strategic planning process and the development of a strategic plan as the deliverable product. Third, the institutionalization of the strategic plan through regular use of the action plan component in committee meetings also helped to set social contingencies of reinforcement for the implementation of the community change strategies by the committees and coalition. Fourth, annual recognition activities acknowledging the accomplishments of the organization enabled through resident support were intended to provide positive reinforcement for resident involvement.

Sustaining the work. The achievement of widespread behavior change and more distal outcomes typically requires sustained activities and investment of resources. In 2001, INC received its first large grant, a 3-year grant, from the Kauffman Foundation after the completion of the strategic plan. In 2002, the Kauffman Foundation refocused its grantmaking efforts and the Kauffman Neighborhood Initiative ended prematurely. The INC documented community changes in the ODSS until the conclusion of the grant reporting period (2002). In 2003, the INC continued to receive funding from the Kauffman Foundation to fulfill the three-year grant award. Between 2003 and 2004, the Kauffman Foundation provided INC with transitional funding. The work of the community coalition continued to progress after the neighborhood initiative formally ended and the INC continued to

implement community change interventions identified in the strategic plan. In 2005, the coalition independently renewed and updated their comprehensive strategic plan to provide future direction for the continued implementation of change in the community.

INC has continued to informally support the implementation of the community change framework. Since 2003, the Kauffman Foundation has continued to establish collaborative relationships with other agencies and leverage additional resources and supports. In 2006, INC moved into a renovated fire station/ boxing center that serves as the office for the coalition. This completed one of the first community change goals established by the coalition in 1999. James B. Nutter a champion of change was co-supporter of this neighborhood redevelopment project.

Since 2005, the coalition successfully competed for involvement in two unrelated comprehensive community change initiatives. In 2005, INC received the Community Excellence Award from the Bank of America, which provided a two year grant and technical assistance. In 2006, INC was invited to participate in the Greater Kansas City Local Initiative Support Corporation (LISC) NeighborhoodsNOW Program. NeighborhoodsNOW will engage the coalition in a two-year revitalization effort that will provide funding and technical support. A primary goal of the NeighborhoodsNOW initiative is to support INC in developing a subsidiary entity, Ivanhome, which will serve as a community development corporation (CDC) responsible for coordinating the coalition's goals related to housing and economic development (Margaret J. May, personal communication, 2007).

Design

A single case study design was used to examine the effects of INC in implementing the community change framework. According to Yin (1993) "the aim of a case study is to expand and generalize theory "(Yin, p.10). The present empirical case study also explores

specified conditions that may have contributed to the facilitation of community change by the community coalition. Case study designs have often been used in urban communities to analyze patterns of behavior (Hyra, 1996). The case study design allows investigators to explore patterns of evidence in settings in which experimental control may be difficult (Yin, 1991). A case study design can be a sufficient design when the goal of the research is to make generalizations from the results about a theory of change, rather than a population (Yin, 1994). Tellis (1997) suggested that case studies can help integrate the perspectives of multiple actors or participants engaged in the research project. The results of the case study can be supported or validated through systematic replication and the triangulation of data from multiple sources including documents, archival records, interviews, and direct observation (Tellis, 1997).

Study Period

The Kauffman Neighborhood Initiative was fully implemented between 2000 and 2002. However, the study period for this research is between 1999 and 2002 to allow for the examination of earlier implementation of phases of the community change framework by INC.

Analysis

As outlined by the research questions for this study, investigators were interested in examining: (a) the unfolding of the community change intervention in the Ivanhoe neighborhood, (b) associated factors or conditions that influenced implementation of community change by the coalition, (c) the distribution and type of community changes facilitated in the neighborhood, (d) the relationship between environmental change and the unfolding intervention to targeted community-level outcomes, including crime rates and housing-related outcomes and (e) enhanced leadership capacity of the coalition to support

change and improvement in the community. Table 2 presents a summary of the research questions in relation to the community change framework. Analysis procedures followed according to these related questions:

To what extent did the community coalition serve as a catalyst for community change? Investigators plotted cumulative rates of community change to describe the unfolding of the community change intervention over time. First, the investigators used visual trend analysis to identify changes in rates of facilitated change in the community. Second, the investigators hypothesized that there would be differences in the facilitated rate of community change over the four-years of the study period. The investigators used a chi-square test for one sample (i.e., goodness of fit test) to examine the distribution of community changes facilitated by the coalition between 1999 and 2002. The chi square test was used to test the null hypothesis that there was no association between time (years) and rates of community change facilitated by INC. Based on the null hypothesis, the expected values for community change would be equal for all four years if no association existed.

What factors were associated with accelerated rates of community change? Critical events that may have influenced the implementation of community change were assessed through semi-structured key leader interviews and review of related data from the ODSS. A survey examining the importance and satisfaction with implementation of the 12 processes was also analyzed to assess processes that were influential in supporting the community change effort.

Based on these qualitative and quantitative measures, key events were overlaid in chronological order on the plotted cumulative rates of community change to identify potential factors that may have been associated with marked accelerations or decelerations in the rate of community change. Community processes, such as leadership and strategic planning, have

been identified through prior research as factors that may influence the capacity of a community effort to facilitate change (e.g., Fawcett et al., 2000a; Fawcett et al., 2000b; Fawcett et al. 1997; Paine-Andrews et al. 1999; Watson-Thompson et al., in press-a).

A linear regression analysis was used to build a regression model, using community change as the dependent variable and the community processes that were associated with the implementation of the community change framework as the independent variables. A linear regression analysis was used to further examine processes that may have been associated with rates of community change. The unit of analysis for observations was months. The cumulative number of community changes and the level of implementation of 10 of the 12 processes related to the community change framework were analyzed in each month (i.e., 48 observations) of the study period.

The tasks for each process was cumulatively weighted based on the level of implementation of the intervention components and elements (see Table 3 for a summary of the intervention components and elements.) The investigators weighted each of 117 community changes for the level of implementation of identified tasks associated with each of the 10 weighted processes. There were two processes that were excluded from this analysis including: (a) developing a framework or model of change and (b) establishing a vision and mission. The process of developing a framework was eliminated because the implementation of the community change framework was the comprehensive intervention under study. For the purpose of this analysis, the process of establishing a vision and mission was combined with the process of strategic planning since they were facilitated as joint processes in the VMOSA (vision, mission, objectives, strategies, action steps) planning process. The backward method of linear regression analysis was used and a constant variable was included in the model. Each process was analyzed based on a criterion for removal of $F < 0.1$.

What evidence is there of enhanced leadership capacity of the community coalition?

Investigators also secondarily analyzed data suggesting the leadership capacity (i.e., staff, resident engagement) of the community coalition, and examined trends over the duration of the study, as well as pre and post-study period. The data were recorded in Microsoft Excel and plotted over time to indicate changes in the number of block contacts, frequency of resident participation at meetings, and the number of staff for INC.

How did the community coalition contribute to improvements in the neighborhood?

Based on the working hypothesis, the investigators used pie graphs to examine the distribution of documented community changes to analyze contributions by goal area, behavior change strategy, duration, and penetration (i.e., sector, targets). The investigators also conducted a cross-tabulation analysis to explore the association between the types (i.e., goal, sector, strategy) of community changes facilitated by the coalition across time (i.e., each year). Due to a large number of cells with expected frequencies lower than five, instead of interpreting Chi Square statistics to identify significant associations between dimensions of community change and time, the analysis focused on cells with a statistically significant standardized residual (> 1.96 in absolute value). A statistically significant difference between observed and expected frequencies in those cells indicated a significant association between the type of community change and the year the change was facilitated. This analysis allowed for a deeper examination of the distribution of community changes and its relative contributions (i.e., type) towards change and improvement in the neighborhood over the four-year period of the study.

Investigators also analyzed survey data from organizational leaders to assess the potential impact of each community change and of the overall community coalition. The investigators used an univariate analysis of variance test (i.e., a parametric test) to examine

the associations between the types (e.g., goal, sector, strategy) of community changes facilitated by INC and the potential impact of the community change based on survey ratings of impact. A Bonferroni test for post-hoc comparisons was used to further examine the association between the perceived impact and the type of community change. The investigators also used a Kruskal-Wallis (non-parametric test) due to small frequencies in some of the dimensions of community change. Microsoft Excel and the Statistical Package for the Social Sciences (SPSS 15.0) were used for all analyses.

Have there been improvements in community-level outcomes of concern?

Investigators analyzed annual crime and housing related data for the neighborhood, based on data compiled by the City of Kansas City, MO Planning and Development Department. The investigators also analyzed Housing Mortgage Disclosure Act (HMDA) data compiled by the University of Missouri Kansas City. First, investigators plotted annual rates of violent and non-violent crime (per 100 residents) in the target neighborhood. The visual inspection of annual rates enabled the examination of possible trends in crime data from pre-implementation (1997-1998) to post implementation (2003-2004). Second, investigators plotted the annual number of home improvement permits in the Ivanhoe neighborhood for pre-implementation (1997-1998) and post implementation (2003) to suggest resident investment in the neighborhood (Higgins, 2001). The investigators also assessed HMDA data for total loan applications submitted to mortgage lenders to examine potential resident interest in the neighborhood (Higgins, 2001).

Results

The results are organized around five key evaluation questions to help assess the impact of INC. Where available, qualitative data from key leader interviews were used to expand upon or validate findings.

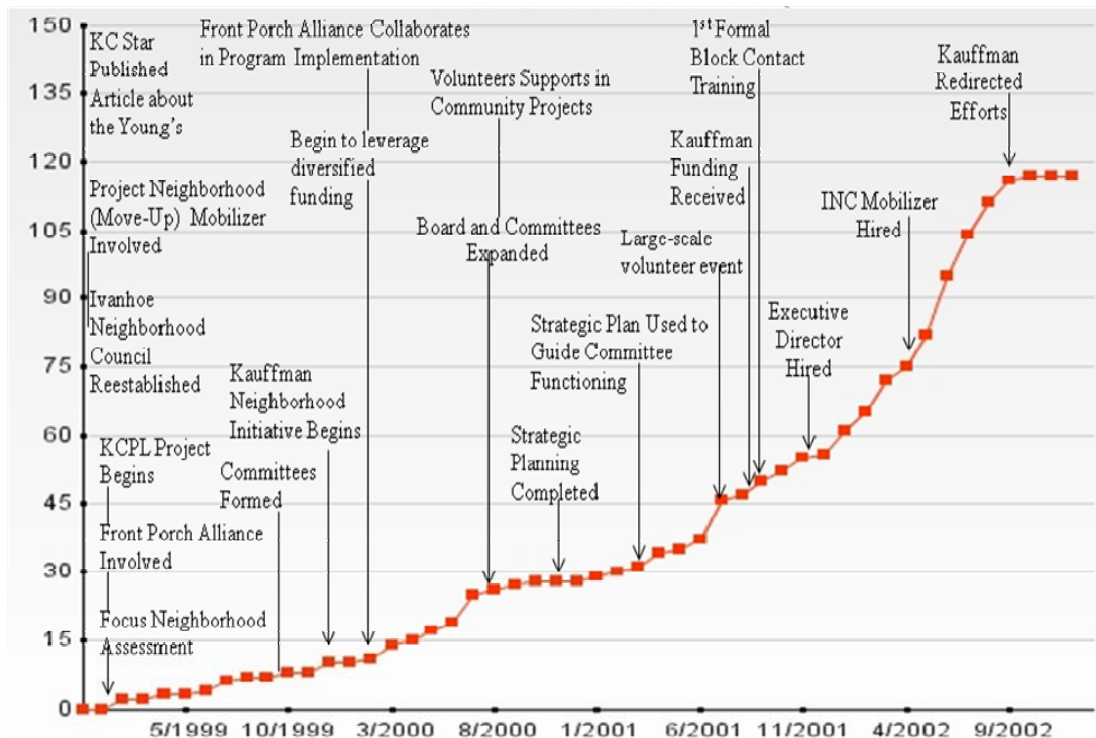
To what extent did the community coalition serve as a catalyst for community change?

Between 1999 and 2002, the initiative facilitated 117 documented community changes. Appendix D provides illustrative examples of community changes—instances of new or modified programs, policies, and practices—related to neighborhood-determined goals. Inter-observer agreement or scoring of community changes was calculated based on the independent scoring of reported events. The obtained value of Kappa was .8894 with a standard error of .081. Observed agreement (95.45%) was significantly higher ($z=11.04$) than agreement expected by chance (58.91%).

In Figure 2, the unfolding of community changes over time is graphed as a cumulative record to depict the progressive unfolding of the neighborhood development process. In a cumulative graph, each new event is added to all previous events; a flat line indicates a low rate of community change, a steeper slope represents a higher rate of change. The initiative facilitated a steady increased rate of community change over the four-year period of this study, with a faster pace of community change (52%) during the last year of implementation. Approximately, 9% of the community changes were facilitated in the first year of the study period (1999). An increase in the rate of community change occurred in 2000, at the time the Kauffman Initiative began. The initiative fostered the majority (76%) of community changes from 2001 to 2002 during the last two years of documented implementation of community change.

There was a statistically significant difference, $p < .001$, in the distribution of community change over the four-year study period. Based on the chi square analysis, it was expected that 29 community changes would be facilitated annually under the null hypothesis. The facilitated rate of community change was substantially lower in 1999 ($N=10$) and 2000 ($N=18$) than expected. In 2002, INC implemented 61 community changes, which was substantially higher than the expected frequency. The residual between expected and observed rates of community change was substantially greater in 2002 (residual=31.8) compared to in 1999 (residual= -19.3) or 2000 (residual= -11.3).

Figure 2. Critical Event Overlay of the Cumulative Number of Community Changes ($N=117$) Facilitated by the Ivanhoe Neighborhood Council from 1999-2002



What factors (processes) were associated with rates of change?

Figure 2 also displays an overlay of critical events (from qualitative interviews) that may have been influential in contributing to the coalition's success. The accelerated rates of community change were associated with several different interdependent factors. The graph displays four main periods of increased and sustained rates of community changes facilitated by the initiative between 1999 and 2002 that may be associated with critical factors and events.

During the beginning of the study period, community changes were oriented towards efforts to increase community capacity and support, including developing new partnerships (e.g., Front Porch Alliance) and assessing the neighborhood's goals and needs (e.g., FOCUS Neighborhood Assessment, informal interviews with community residents). The first acceleration in the rate of community change was between February and July 2000, which paralleled the onset of the Kauffman Initiative. This modest and steady rate of community change is associated with enhanced organizational development and the establishment of additional leadership (agency and residential-based) and resources (funding and volunteers) to implement neighborhood beautification projects. The co-implementation of programs by Front Porch Alliance, a collaborative and former lead agency within the initiative, was also associated with an increased rate of community change. During this time, there were increased residential-based leadership in the organization and neighborhood through the involvement of residents as board members, committee chairs, and quadrant leaders. The facilitation of the strategic planning process was also associated with the modest increase in the rate of change. During this time period, funding resources were secured including from the Kauffman Foundation, Kansas City Neighborhood Alliance Self-Help Grant, and City (i.e., Community Development Block Grant).

The second marked increase and steady run of community changes was between March of 2001 and June of 2001. During this period of time, a factor associated with the steady increase in community change was the onset of action plan implementation by the committees. During this time, a process for reviewing and updating the action plan was integrated into the monthly meetings for the overall neighborhood initiative and for each committee as a standard agenda item. The graph depicts a relatively low rate of community change between August of 2000 and February of 2001, which characterizes the time period between the first and second phases of accelerated community change. This may be associated with delayed implementation of the strategic plan after initial completion in October 2000.

Figure 2 displays another significant increase in the rate of community change between July 2001 and March 2002. Leadership (both residential and agency based) and resources (staff) were added during this period. In July 2001, the collaborative partnership between the initiative and United Churches of Christ (Disciples of Christ) resulted in the success of a large-scale volunteer mission activity, Volunteers in Mission, that enabled a series of community changes (e.g., new collaborations with local churches, first time implementation of Clean Sweep program, modified city practices for collecting trash). Also, during this time, neighborhood leadership was extended, through increased block contacts in each of 87 blocks. During this time period, another associated event was increased leadership and organizational capacity and resources enabled through hiring an executive director for the initiative. After the hiring of the executive director in November 2001, there is a steeper slope for the rate of facilitated changes indicating a more significant increase.

Figure 2 shows that the final documented acceleration of community change (from April to September 2002) was associated with the formal hiring of a community mobilizer.

The defined role of the community mobilizer was to serve as a catalyst for change. For instance, the mobilizer facilitated increased residential engagement by providing neighborhood and block-level activities and supports including block leader training, assistance with block plan development, and advocacy for block-level resources.

Results from Qualitative Interviews

The qualitative interviews identified several contextual factors that may have impacted the neighborhood between 1999 and 2002. External practices, such as the focus group assessments (town hall meeting) conducted by the City in the development of neighborhood plans, helped in the early identification of neighborhood concerns. Respectively, interview participants also commented on the importance of strong neighborhood-based leadership, exemplified by the INC Board President, Alan Young. The interviews suggested that the “neighborly” climate of the residents and organization may have enhanced the effectiveness of the initiative. The neighborhood association and residents encouraged and invited the development of collaborative relationships. The shared history of the neighborhood (e.g., established block clubs) was also recognized as a potentially important factor that helped to enable change. The technical support provided by Project Neighborhood/Move-Up through knowledge of the community and expertise in community mobilization was also noted as an important factor during the more formative stages of the organization.

Results from Survey of Importance, Satisfaction and Impact of the Processes

Ratings of importance in implementing the processes. The survey participants (N=9) rated the importance of the 12 processes quite highly. The lowest mean score for any of the processes was 4.6 on a 5-point Likert scale for the process of documentation and feedback. The processes rated highest in importance were establishing a clear vision and mission (5.0)

and leadership development (5.0). The survey respondents rated the other 10 processes as either “important” or “very important”, with the mean score of all the processes between 4.6 and 5 on a 5-point Likert scale. The mean score for the rating of the overall importance of the initiative in facilitating change in the community was 4.89 on a 5-point rating scale.

Ratings of satisfaction with the implementation of the processes. Ratings of satisfaction with the implementation of the 12 processes was also high; none of the processes had a mean satisfaction rating of less than 3.89 on a 5-point rating scale (with 5 as “very satisfied”). The processes rated with the highest satisfaction were the processes strategic planning (4.89) and arranging for a community mobilizer (4.89); for both of these processes 89% of the respondents indicating they were “very satisfied” with the implementation of the process. The lowest satisfaction ratings with a mean rating score of 3.89 on a 5-point rating scale was with the process of establishing a clear organizational structure and operating mechanism.

Ratings of the impact of the processes on coalition development. The impact ratings for each of the 12 processes were relatively high. The lowest mean “impact” rating for any of the processes was the process of making outcomes matter (3.89) followed by the process of documentation and feedback (4.0), with the “impact” rated on a 5-point Likert Scale. The survey responses with the highest impact ratings based on a 5-point Likert scale were related to the following processes: the establishment of a vision and mission (4.78), development of a strategic plan (4.78), and the presence of a community mobilizer (4.78). The mean rating for the overall impact of the initiative in facilitating change in the community was a 4.3 on a 5-point Likert type scale. All of the survey participants responded “yes” to the question of whether the community was better off today because of the initiative.

Results from the Linear Regression Analysis

The linear regression equation was built after a six step regression model. There were five variables (processes) that were removed based on the exclusion criteria of a probability of $F < 0.1$, including: implementing interventions, analyzing information about the problem or goal, sustaining the work, having a clear organizational structure, and documentation and feedback. The following processes included in the regression model were: arranging for a community mobilizer, strategic planning, ensuring technical assistance, making outcomes matter, and leadership development. The regression model with these five variables explained nearly 98% of the variance (Adjusted $R^2 = .979$) observed in the cumulative rate of community change, with an analysis of variance yielding an F value of 389.2; $p < .001$ (with 5 degrees of freedom). Based on the beta standardized coefficient, the most predictive processes based on the regression model were arranging for a community mobilizer (0.53; $t = 16.6$; $p < .001$), making outcomes matter (0.35; $t = 4.7$; $p < 0.001$), and developing leadership (0.2; $t = 3.3$; $p < 0.002$), followed by strategic planning (0.14; $t = 2.3$; $p < 0.05$), and technical assistance (-0.1; $t = -2.1$; $p < 0.05$).

What evidence is there of enhanced leadership capacity?

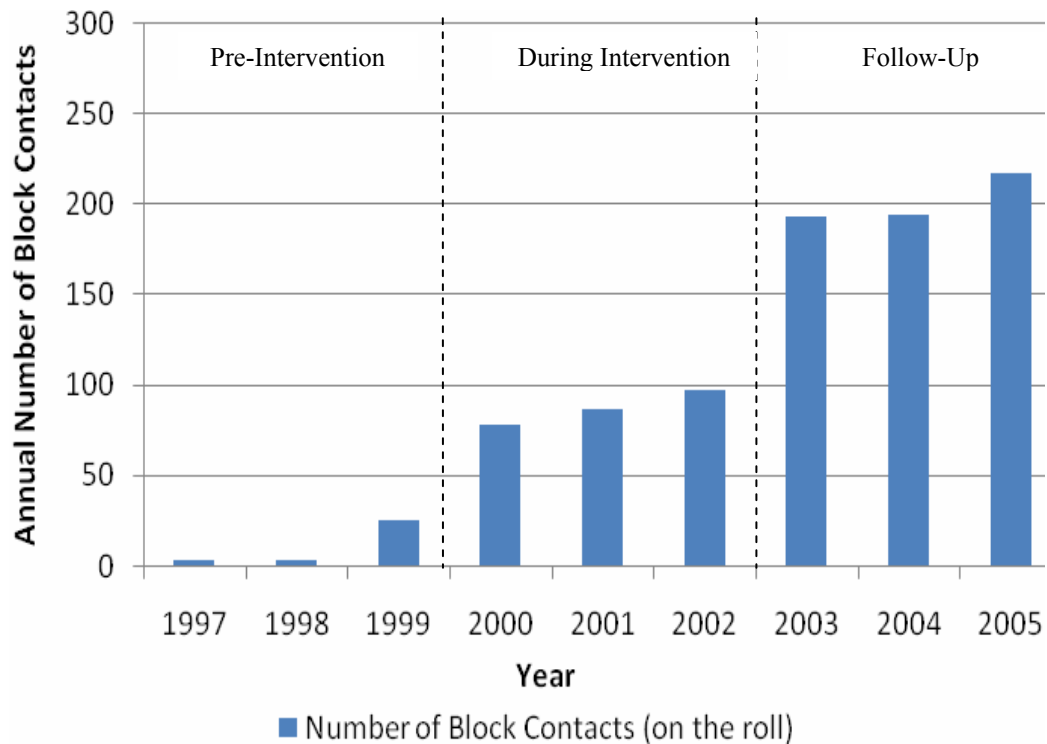
A secondary question examined whether the intervention resulted in increased leadership capacity to support community change and improvement. There were several indicators used to assess leadership capacity including: resident engagement as block contacts, participation in coalition meetings, and paid staff members. Figure 3 shows that resident participation as block contacts substantially increased in the Ivanhoe neighborhood during the intervention period (1998-2002). Although there may have been an increase prior to the onset of the study period there was a marked increase during the intervention period. During the first year of the intervention (1999-2000) there was a net gain of 53 residents and between 2002 and 2003 there was another substantial increase with 97 new residents that

committed to serving as block contacts. The participation of residents as block contacts was maintained throughout follow-up (2004-2005) and was still sustained in 2007.

The second measure of leadership capacity was participation in the monthly INC meetings. The count of coalition participants was examined annually. Between 1997 and 2003, the total unduplicated count of participants in monthly coalition meetings was 452 individuals. During the formative stages of the organization, approximately 74 participants were engaged in monthly coalition meetings between 1997 and 1999 (pre-intervention). During the intervention period (1999-2002), participant engagement in monthly coalition meetings increased 55% from pre-intervention. During follow-up (2003), there had been a 33% increase in coalition participation, with 173 participants active in monthly coalition meetings throughout the year.

The last capacity outcome that was analyzed was the hiring of paid staff by INC. INC did not have direct staff support during the pre-intervention period. During the intervention, INC acquired a total of three paid staff members. The post-follow up assessment indicated that Ivanhoe has a total of 5 paid staff members in 2007.

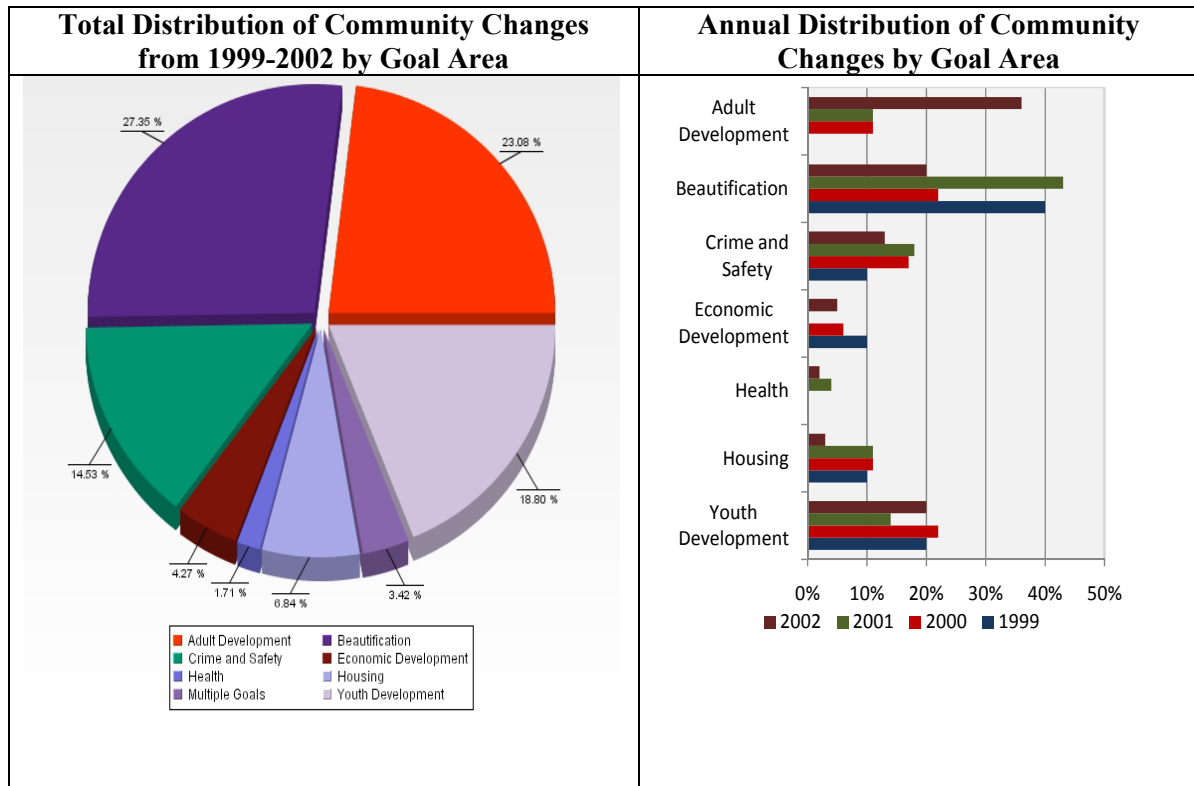
Figure 3. Residents in the Ivanhoe Neighborhood that Participate in the Block Contact Program



How has the coalition contributed to improvements in the neighborhood?

Distribution of community changes by goal area. Figure 4 depicts the distribution of community changes by the community-determined priority goal areas (e.g., beautification, housing, youth development). The efforts of INC over the four-year study period were broadly distributed across several of the goal areas with a concentrated focus in the areas of beautification (27% of the community changes), adult development (23%), youth development (19%), and crime and safety (14%). The graph shows a more moderate effort in the areas of housing (6%), economic development (5%), and health (< 1%).

Figure 4. Distribution of Community Changes (N=117) Facilitated by the Ivanhoe Neighborhood Council, between 1999-2002 by Goal Area



A deeper analysis showed that the distribution of community changes by goal area varied over time. As shown in Figure 4, in 1999, nearly 40% of the (relatively few) community changes targeted beautification activities and none of the community changes related to adult development. Whereas, in 2000 there was a more equitable distribution of community changes with 22% of the facilitated activities supporting beautification and youth development related goal areas. During 2000, 11% of the community changes focused on adult development, housing (11%) and economic development (6%). By 2002, the largest distribution of community changes targeted adult development (36%), beautification (20%), and youth development (20%).

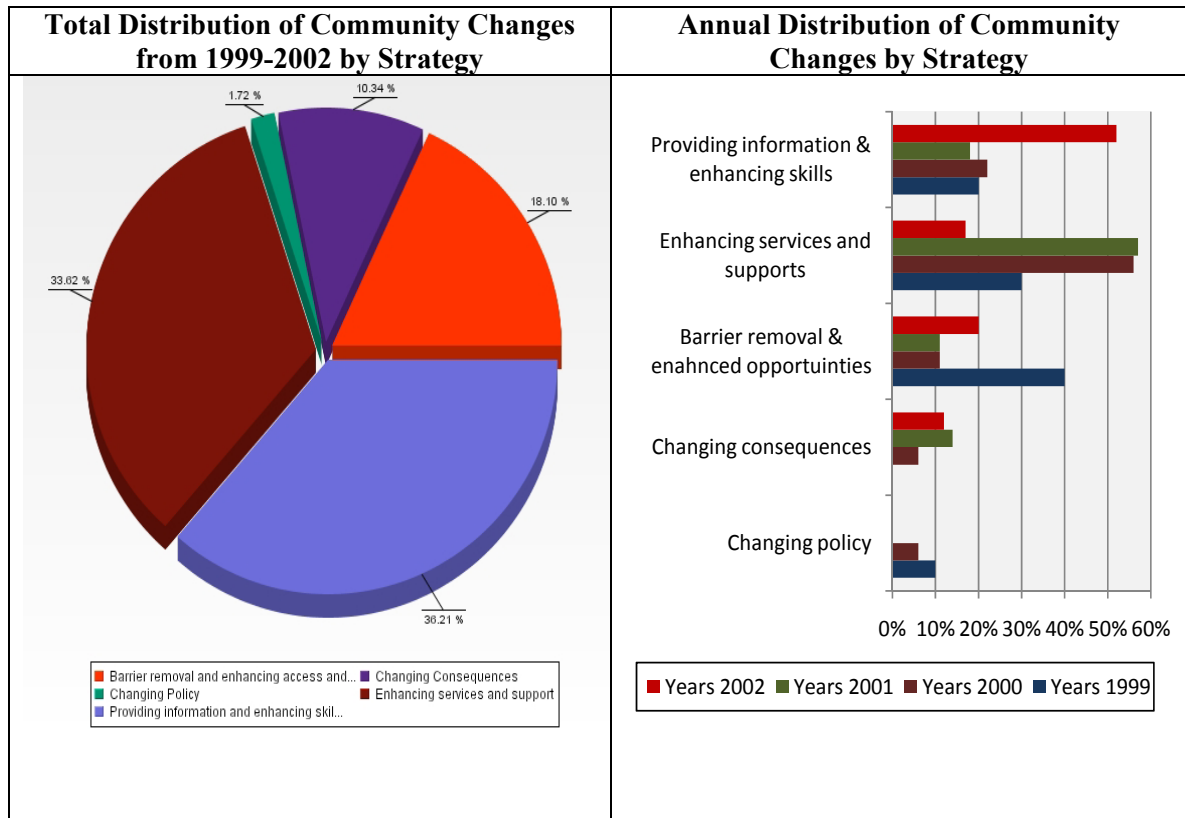
Distribution of Community Changes by Behavior Change Strategy

Figure 5 displays the distribution of community changes by behavior change strategy (e.g., barrier removal and enhancing access and support, providing information and enhancing skills). The behavior change strategies most utilized by the initiative were providing information and enhancing skills (36%) and enhancing services and supports (34%). The initiative moderately employed strategies related to barrier removal and enhancing access and opportunities (18%) and changing the consequences (10%). Changing policy was the least frequently used strategy; it accounted for less than 2% of the documented community changes.

The distribution of the implementation of the behavior change strategies varied over time. In 1999, the largest distribution (40%) of community changes related to reducing barriers and increasing access and opportunities in the community. In both 2000 and 2001, the majority of community changes (56-57%) were associated with enhancing available services and supports in the community.

In 2001, the frequency of community changes related to enhancing services and supports was significantly higher than expected (standardized residual = 2.1). In 2002, the majority of community changes (nearly 52%) used the strategy of providing information and enhancing the skills of neighborhood residents, which was a significantly higher frequency than expected (standardized residual = 2.0). Whereas, the percentage of community changes associated with enhancing available services and supports had a lower distribution than expected (residual=-2.3). Figure 6 shows the overall distribution of strategies used by INC to facilitate the 117 community changes across the four year study period.

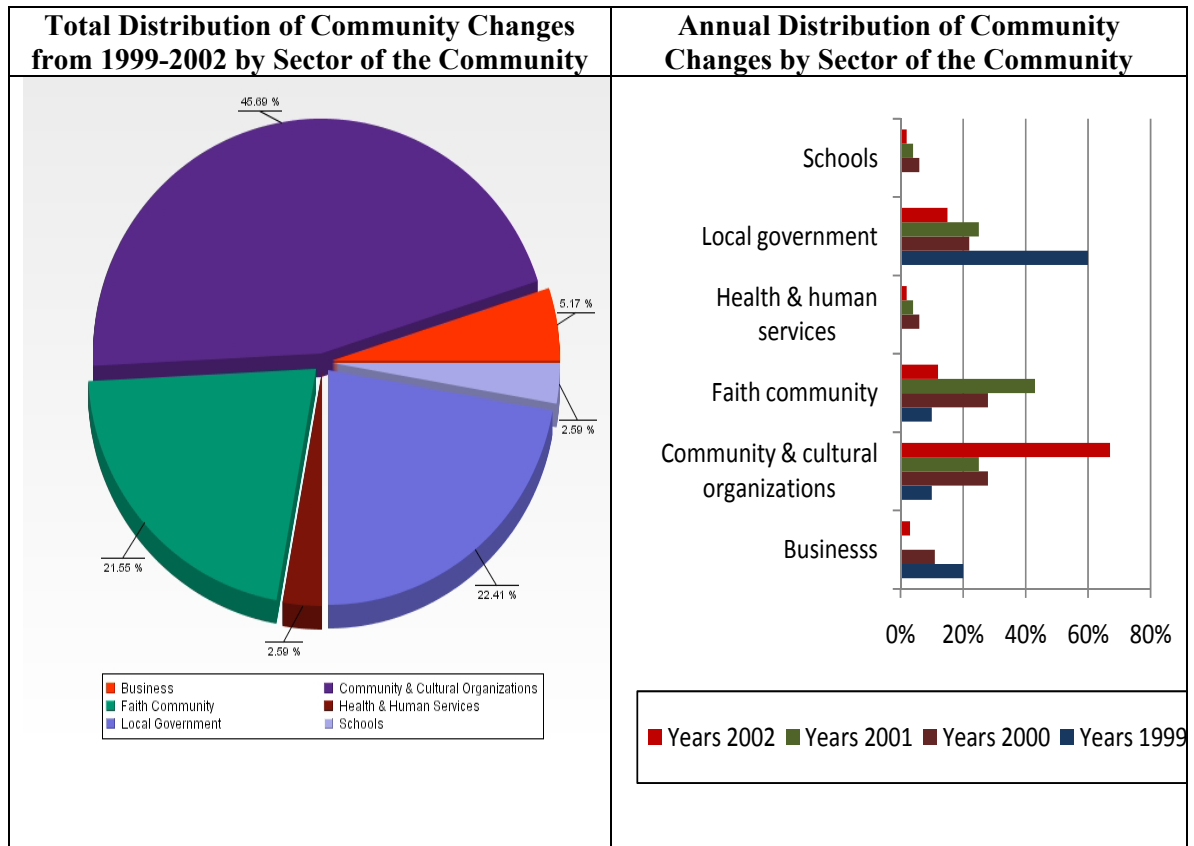
Figure 5. Distribution of Community Changes (N=117) Facilitated by the Ivanhoe Neighborhood Council, between 1999-2002 by Behavior Change Strategy



Distribution of Community Changes by Sector of the Community

Figure 6 illustrates the overall distribution of community changes between 1999 and 2002 by sectors of the community (e.g., community and cultural organizations, faith community, local government) in which the change was implemented. The most community changes (47%) were facilitated in community and cultural organizations. There was also a high penetration of community changes in both the faith community (22%) and local government (22%). The remaining 9% of community changes were more modestly distributed across businesses (5%), schools (3%), and health and human service organizations (3%).

Figure 6. Distribution of Community Changes (N=117) Facilitated by the Ivanhoe Neighborhood Council, between 1999-2002 by Sector



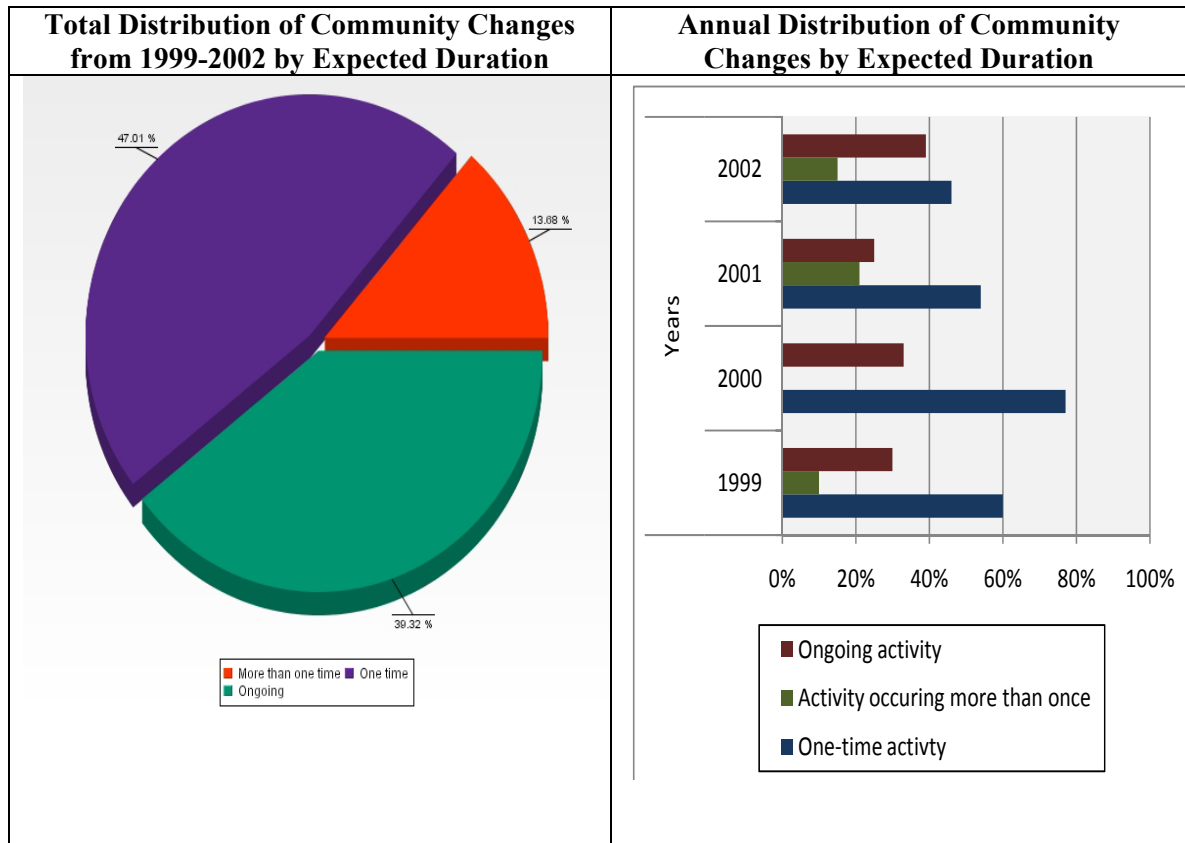
As shown in Figure 6, the distribution of community changes by sector varies across the four years of the study period. In 1999, 60% of the (relatively few) community changes were facilitated through the local government. The frequency of community changes in the local government sector was significantly higher than expected, with a standardized residual of 2.1. During the other years of the study, there was broader distribution of community changes across various sectors of the community. In 2000, nearly 28% of the community changes were implemented in either community and cultural organization or the faith community. In 2001, approximately 42% of the community changes were implemented in the

faith community and 20% of the community changes were through community and cultural organizations or the local government. The implementation of community changes through the faith community was a significantly higher frequency than expected (standardized residual=2.1). In 2002, nearly 67% of the community changes were facilitated in community and cultural organizations. This distribution of community changes in community and cultural organizations was significantly more frequent than expected (standardized residual=2.3).

Distribution of Community Changes by Projected Duration

Figure 7 displays the distribution of community changes by projected duration. Of the 117 community changes, 47% were one-time activities (i.e., were not planned to reoccur), 39% were ongoing (e.g., regularly scheduled or occurring consecutively), and 13% of the activities were projected to occur more than once (e.g., annual event). In 2000, the majority (67%) of activities were one-time events. By 2002, slightly less than 40% of the activities were ongoing and 36% of the activities were one-time events.

Figure 7. Distribution of Community Changes (N=117) Facilitated by the Ivanhoe Neighborhood Council, between 1999-2002 by Duration



Rating of Impact of Community Changes by Key Organizational Leaders

A survey was distributed to key neighborhood leaders (N=9) and residents to assess the potential impact of the initiative. The survey rated the impact of each of 112 community changes on improvement in the community. The survey items with the highest ratings, 75% or more of survey respondents indicating the community change had a “great impact” (5) were related to following: (a) organizational development activities including the attainment of 501(c)3 designation by the IRS, the facilitation of the strategic planning process, and the hiring of a community mobilizer; (b) neighborhood advocacy activities including a crime vigil bringing attention to neighborhood crime, police notification of closed drug houses, and

the filing of a lawsuit to close an illegal nightclub; (c) large-scale neighborhood beautification and improvement activities including Volunteers in Mission, Clean Sweep, and a monthly tire-pick up program; and (d) increased neighborhood identification through the dedication of Ivanhoe Park.

Several statistical tests were used to examine the association between the type of community changes and the average rating of perceived impact. Based on the Kruskal-Wallis test, the association between goal area and perceived impact was statistically significant (Chi Square = 10.2; $p < .05$). The univariate ANOVA indicated that the difference between community changes by goal area approached significance ($F = 2.4$; with $p < .06$ for four degrees of freedom and a moderate statistical power of 0.67). There was a difference between the perceived impact of community changes related to beautification (mean = 4.1) and crime and safety (mean = 3.6).

The results of the one-way ANOVA indicated that the association between perceived impact of the community changes and behavior change strategies were statistically significant, ($F = 6$; $p < .001$, with three degrees of freedom and a high statistical power of 0.95). The Bonferroni test for post-hoc comparisons indicated that there was a significant difference ($p < 0.001$) between the perceived impact of community changes related to enhancing services and support (mean impact rating = 4.0) and providing information and enhancing skills (mean impact rating = 3.5). There were no statistically significant association between perceived impact and sectors of the community in which the community changes were facilitated. The association between perceived impact and the expected duration of the implementation of the changes in the neighborhood was not analyzed.

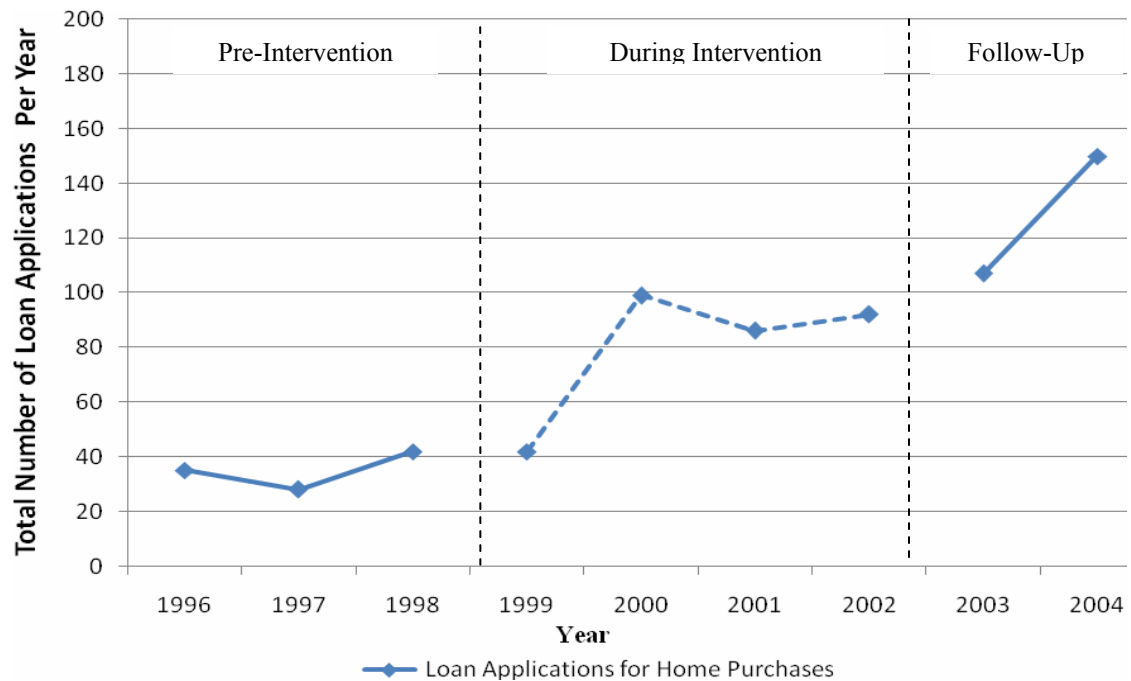
Have there been improvements in community-level outcomes of concern?

Several indicators were used in this study to assess potential improvements in neighborhood outcomes overall.

Data Related to Housing Outcomes as an Indicator of Neighborhood Improvement

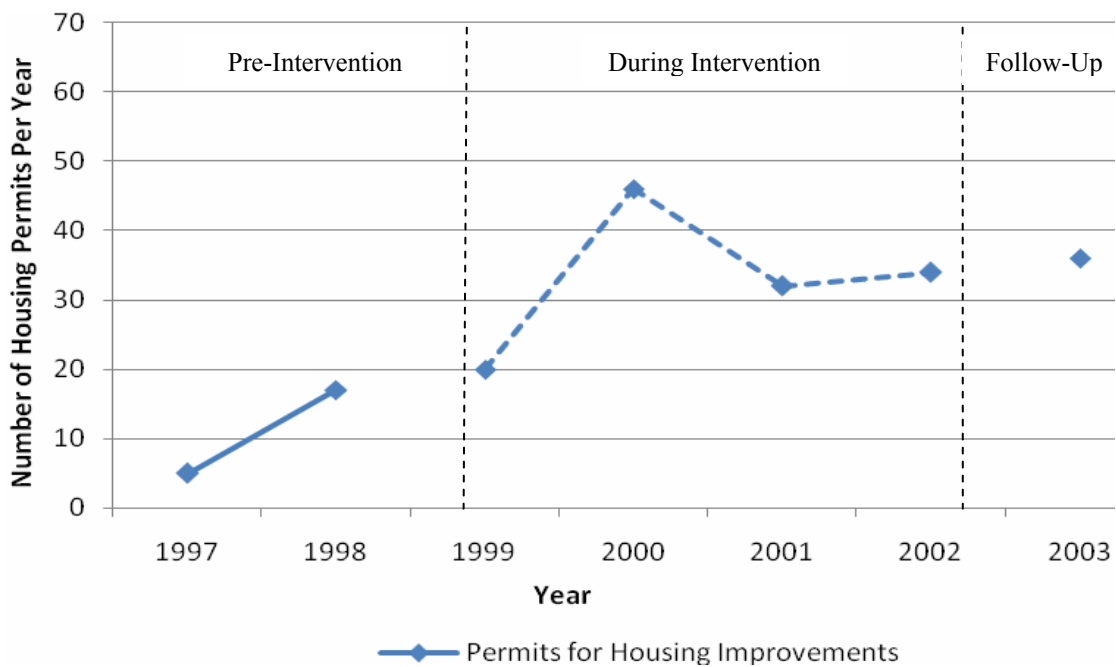
The following graphs display data trends for (a) permits for home improvements and (b) total loan applications for home purchases. Figure 8 depicts the total number of loan requests for homes in the Ivanhoe neighborhood. There was a 54% increase in housing loan applications submitted to mortgage lenders post- intervention (2003) compared to pre- intervention (1998). The total number of loan applications for home purchases continued in an increasing trend during post-intervention (2003-2004).

Figure 8. Loan Applications for Home Purchases in the Ivanhoe Neighborhood, 1996-2004



Another relevant housing market indicator is permits for home improvements including housing additions, alterations, or repairs. In 1997, prior to the active engagement of the coalition, only five permits for housing improvements were issued by the City. Figure 9 shows there were over twice as many permits for housing improvements issued in the neighborhood post-intervention (2003) than pre-intervention (1998). There was a slight increase in permits issued for housing improvements during the follow-up period (2003).

Figure 9. Permits for Housing Improvements in the Ivanhoe Neighborhood from 1997 to 2003



Data on Crime-Related Outcomes as an Indicator of Neighborhood Improvement

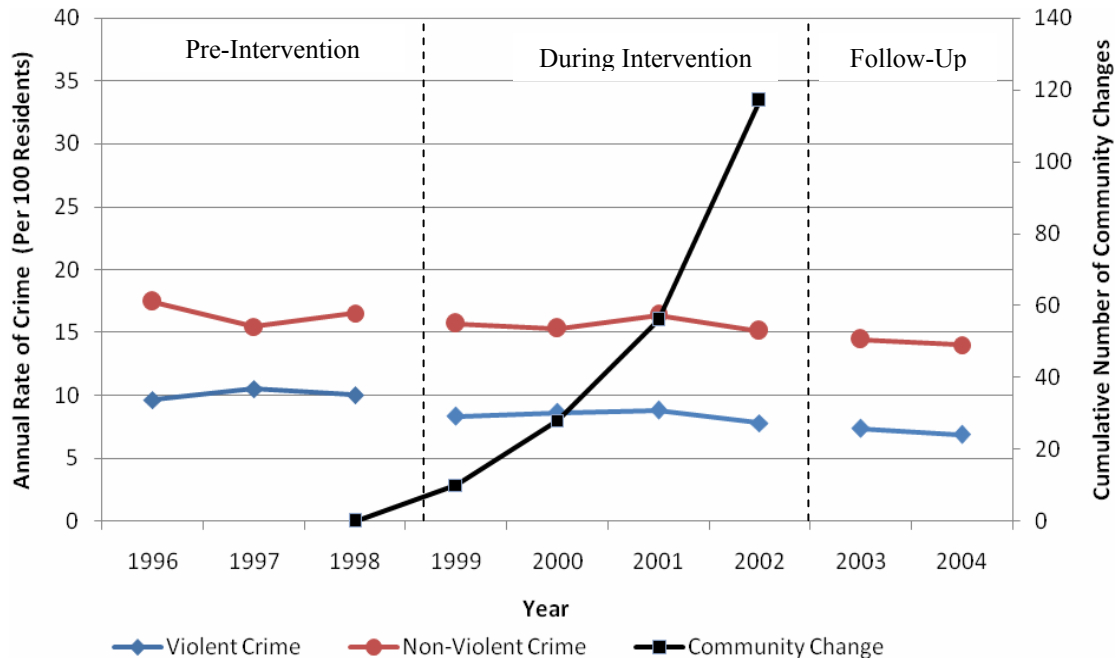
Figure 10 below depicts both violent and non-violent crime rates for the Ivanhoe neighborhood from 1996 through 2004. The non-violent crime rate began to decrease during pre-intervention (1996-1998) with some annual variability in rates. The non-violent crime rate decreased approximately 5% during pre-intervention (1996-1998), compared to nearly a 4% decrease during the study period (1999 to 2002). The non-violent crime rate in the

neighborhood had continued to decrease during follow-up (2003-2004). Since 1997, the annual non-violent crime rate for the neighborhood has followed a trend identical to the rate for the overall City, but the pace of decreased change in the neighborhood has been slower.

Figure 10 displays the rate of violent crime in the Ivanhoe neighborhood from 1996 to 2004. Between 1998 and 1999, prior to the onset of the intervention, the Ivanhoe neighborhood experienced, a large drop in rates of violent crime. Although the violent crime rate slightly increased in the neighborhood between 1999 and 2001 the overall rate of violent crime was modestly lower during the intervention period (1999-2002) than in the pre-intervention period (1996-1998). Between 2001 and 2002, there was a marked decrease in the annual rate of violent crime. Then, in 2002 (the last year of this study period) began a decreasing trend in the rate of crime in the neighborhood that continued through 2004 (post-intervention). During the intervention period (1999 to 2002), there was a 6% decrease in the overall crime rate in the neighborhood compared to a 2% decrease in the City.

Figure 10 also depicts the relationship between the unfolding of the community changes facilitated by the INC and one key marker of success, annual violent and non-violent crime rates in Ivanhoe. During the last two years of the study period, community changes increased at a steady rate, with 117 community changes documented between 1999 and 2003. By the end of the intervention, both the violent and non-violent crime rate in the neighborhood was somewhat lower than before the intervention. The annual violent crime decreased from pre-intervention (1998-1999) to during intervention (2000-2002) to follow-up (2003). Between pre-intervention (1996) and follow-up (2004), there was nearly a 17% decrease in the annual rate of violent crime. Similarly, there was nearly a 20% decrease overall in non-violent crime rate between pre-intervention (1996) and follow-up (2004).

Figure 10. Cumulative Number of Community Changes Facilitated by the INC a Related to the Annual Violent and Non-Violent Crime Rates (per 100 residents) in the Neighborhood



Discussion

The case study provides insight into the community change process facilitated by INC. The findings from this study can enhance understanding of the processes that support the facilitation of community change. The results suggest that a grassroots-based community coalition can facilitate changes in the environment to address neighborhood conditions. The findings further suggest that the implementation of the community framework/intervention may have contributed to accelerated rates of community change and enhanced capacity of this community effort. Overall, INC was effective in implementing community changes (i.e., new/modified programs, policies, and practices) and these changes were correlated with some modest improvements in neighborhood indicators related to housing and crime reduction.

However, the single community case study design does not permit strong conclusions since it does not rule out other correlated events that may have caused the observed effects.

The following sections will discuss the tentative conclusions based on the research questions. The five specific study questions are: (a) To what extent did the community coalition serve as a catalyst for community change? (b) What factors were associated with accelerated rates of community change? (c) What evidence is there of enhanced leadership capacity to of the Ivanhoe Neighborhood Council to support change and improvement in the community? (d) How did the community coalition contribute to improvements in the neighborhood? and (e) Have there been improvements in community-level outcomes of concern? This dissertation will provide a discussion of the strengths and challenges of this study. Finally, this study will conclude with emergent lessons and recommendations for enhancing research and practice of community-based change efforts.

Study Findings

To what extent did the community coalition serve as a catalyst for community change?

INC did serve as a catalyst for community change as evidenced by the moderate and steady rate of changes in programs, policies, and practices facilitated by the initiative between 1999 and 2002. The rate of community change facilitated by the INC over the four-year study period seemed to be significant. During the early stages of the intervention, INC facilitated a slow rate of community change that significantly increased by the end of the study period. In a study of systems change models, Emshoff et al. (2007) also found increased rates of community and systems change during the first several years of coalition development as the community coalition matured. According to Emshoff et al. (2007), a gradual and accelerated rate of community and systems change facilitated by a comprehensive change effort is consistent with a community and systems change model.

During the first year of the study period, a minimal number of community changes were facilitated. This slow rate of community change may be expected during the assessment and collaborative planning phase. According to Emshoff et al. (2007), “the potential for collaborative systemic [community] change first gets acknowledged, then planned, then implemented” (p.265). In the second year, the first marked increase in an accelerated rate of community change occurred between February and August of 2000. This accelerated rate of change was associated with the engagement of INC in the Kauffman Initiative, including the technical support that was provided to the coalition in the 8-month strategic planning process. During this period, the coalition began to leverage both direct and indirect resources and supports. The community coalition began to receive its first steady infusion of grants to support neighborhood improvement projects from diverse funding sources including the Greater Kansas City Community Foundation, Kansas City Neighborhood Alliance, and City Development Block Grant funds. The accelerated rate of change may have also been related to the implementation of programs and supports in collaboration with Front Porch Alliance, who served as a lead partner during the formative stages of the coalition.

The second steady rate of accelerated change occurred between the second and third years of the study period, from August 2000 to July 2001. The increased rates of community change may have been associated with enhanced organizational mechanisms to support the facilitation of change. Other experimental research suggests that the implementation of the strategic plan through action committees can lead to increased rates of community change (Watson-Thompson, Fawcett, & Schultz, in press). The acceleration in rates of community change was directly related to community changes that were spurred or facilitated through implementation of the action plan through functional committees (Watson-Thompson, Fawcett, & Schultz, in press). For instance, during this time the Housing and Economic

Development Committee was formed to support and provide accountability in the implementation of the action planning components related to this goal area. In this time period, accelerated rates of community change may have been promoted through the establishment of key relationships that were developed to support neighborhood improvement activities. For instance, in July 2001 a weeklong volunteer event, Volunteers in Mission, mobilized upwards of 1,200 volunteers from a national faith-based network that partnered with INC to support neighborhood improvement projects (e.g., housing repair, clean-ups). The development of key relationships and partnerships in supporting the implementation of community change has been well noted in the literature (Foster-Fishman et al., 2001; Lasker et al., 2001).

The next marked increase in the rate of community change was noted between September 2001 and March 2002. Higher rates of community change during this period was associated with enhanced organizational and leadership capacity, which was enabled through the provision of the Kauffman Grant that was received after the successful completion of the strategic plan. This substantial grant enhanced the leadership capability and organizational functioning of the organization through first hiring of an executive director and later the acquisition of office space for INC. The hiring of the Executive Director in November 2001 was directly associated with a steep change in the rate (slope) of community change. The hiring of the Executive Director allowed for enhanced organizational functioning, oversight, and accountability for implementing change in the community. Prior research has found that committed staff can enhance collaborative leadership to support change and improvements in community conditions (Roussos & Fawcett, 2000; Zakocs & Guckenburg, 2006).

As shown in Figure 4, the highest and final acceleration in the rate of community change was facilitated between April and September of 2002, which was associated by the

hiring of a community mobilizer by the organization. The community mobilizer was responsible for providing technical assistance to the organizational leaders (e.g., committee chairs, block contacts). The accelerated rate of community change was reflective of direct supports for block-level activities provided by the community mobilizer. This may indicate that the supports provided by the mobilizer helped to support and enhance the capacity of community residents to serve as resident leaders. Consistent with principles of community-based participatory research, the ability of the coalition to facilitate community change provides evidence of the empowerment of local people in the development and implementation of the initiative (Fawcett et al., 2002; Foster-Fishman et al., 2007; Wallerstein et al., 2002; White, 2002).

What factors were associated with accelerated rates of community change?

Taken together, the 12 processes were associated with the facilitation of the community change framework by the coalition. However, not all of the processes appear to have the same impact. This study found that there were critical factors associated with accelerated rates of community change including: (a) the presence of a community mobilizer; (b) developing leadership; (c) facilitation of the strategic planning process, particularly the component of establishing a vision and mission; (d) making outcomes matter, and (e) ensuring technical assistance and supports. These five processes were included in the regression model used in this study and explained a very high percentage of variance associated with facilitated rates of community change by the coalition. Although these five processes appeared to be the strongest predictors in explaining rates of accelerated community change it is recognized that all of the processes contributed to the overall implementation of the community change framework/ intervention. For instance, the process of establishing an organizational structure was not found to be the most relevant predictor of

facilitated rates of community change. However, the establishment of a clear organizational structure and operating mechanism was related to the development of leadership and the implementation of the strategic plan. The predictive validity of several processes identified through the regression model helped to support the highly rated importance and impact by key leaders of several of the processes including arranging for a community mobilizer, developing leadership, and strategic planning. The strongest predictors of community change appeared to be the presence of a community mobilizer, developing leadership, and strategic planning.

The development of leadership appeared to be an important factor that contributed to the facilitation of community change by the community coalition. The semi-structured interviews indicated that the presence of visionary leaders, Alan and Yolanda Young, who served as symbols and models for implementing community change, was probably the single most important factor that enabled the revitalization of the organization as an agent of change (e.g., establishment of collaborative relationships) in the community. Similarly, the establishment of residential-based leadership (e.g., board of directors, quadrant leaders, action committee chairs, block contacts) was associated with marked acceleration in rates of community change. The development of leadership may have empowered residents to serve as change agents. For example, trained block contacts were instrumental in providing a network of support for the dissemination of information and the facilitation of community change (e.g., distributed crime prevention books, completed crime reporting forms, facilitated block meetings). The engagement of neighborhood leaders through both formal (e.g., faith-based organizations) and informal (e.g., block organizations) mechanisms has been suggested to be important in “building local capacity for change” (Zakocs & Guckenburg, 2007, p. 93).

The hiring of an executive director, Margaret J. May, allowed for the redistribution of organizational activities (e.g., resource management, partner recruitment) from the residential leaders and volunteers to hired staff. The hiring of the executive director appeared to substantially enhance the capacity of the coalition to facilitate change. The continuity and maintenance of leadership at all levels (e.g., board, staff, block leaders) may have aided the organization in facilitating community change through a sustained network of community support for the community coalition. Sustained organizational leadership has been associated with coalition effectiveness and capacity to implement community change (Roussos & Fawcett, 2000; Zakocs & Guckenburg, 2007). Although there have been high levels of turnover with committee chairs, there has been longevity in the sustainability of board and staff members, which has been found to enhance trust and credibility of the coalition in the community (Zakocs and Guckenburg, 2007).

Bringing on a community mobilizer may also have enhanced the capabilities of the initiative to facilitate community change. The process of arranging for a community mobilizer appeared to be the strongest predictor of facilitated rates of community change. There was an assigned community mobilizer responsible for supporting the efforts of the community since the initial reestablishment of the coalition in the late 1990's. There were several paid community mobilizers that worked in Ivanhoe through Project Neighborhood (Move-Up) to support the reformation of the initiative. They provided technical assistance; first, to Ivanhoe residents (e.g., Alan and Yolanda Young), and later to the leaders of the reestablished organization. There was continuity in the supports provided by the community mobilizer as Jessie Jefferson, the mobilizer from Project Neighborhood (Move-Up), was also the same person who served as the mobilizer for the Ivanhoe initiative.

The enhanced capabilities of the initiative provided by the community mobilizer may suggest the importance of having a community mobilizer in place throughout all phases (e.g., collaborative planning, community action and intervention) of an initiative. The community mobilizer for INC was responsible for providing technical assistance (e.g., block plan development) to the organizational leaders (e.g., committee chairs, block contacts). For example, the community mobilizer worked with new block contacts to host block-level meetings with residents and provided resources and supports for the development and implementation of block plans. The engagement of mobilizers in community change efforts either through formal (e.g., paid staff) or informal (e.g., trained volunteers) arrangements has been identified as an important factor in supporting grassroots-based community efforts (Kaye, 2001).

The process of developing and implementing the strategic plan also was a strong predictor closely associated with marked increases in community change. This process received a high impact and satisfaction rating by key leaders that responded to the survey of processes. The first phase of the strategic planning process entailed establishing a clear vision and mission to give direction to the effort, which was rated as a highly important process for supporting the efforts of the coalition. The importance of having a shared vision and mission to focus the efforts of the organization has been previously noted in the literature (Fawcett et al., 2000b; Foster-Fishman et al., 2001; Wolff, 2001). The acceleration of community changes during several time periods were associated with phases of the strategic planning process. The strategic planning session that was facilitated for INC, through support from the KU Work Group and the Kauffman Initiative, was associated with the first sustained accelerated rate of community change. Although the formal completion (prior to

implementation) of the strategic plan in August of 2000 did not result in an increased rate of community change.

As shown in Figure 4, a key variable that may have spurred community change was the implementation of the strategic plan through action committees. In 1999 the coalition began forming committees, however, the formation of committees in itself, without a clear mechanism to guide committee functioning did not result in facilitated rates of community change. In August 2001 the integration of the action plan into the routine process of the action committees provided a mechanism to guide and provide feedback on the work of the committees; this was associated with an increase in the rate of community change.

The action plan, developed as a component of the strategic planning process, allowed for systematic implementation, review, and adjustments in the community change strategies. The regular use of the action plan through the committees also served as prompts for collaborative action and partner accountability (Johnston et al., 1996; Kegler, Steckler, McLeroy, & Malek, 1998; Watson-Thompson et al., in press). The integration of the action plan was one method the coalition instituted to support the process of making the outcomes of the initiative matter. A follow-up interview with representatives of INC indicated the basic practice of using the action plan to guide committee functioning was still effectively used by some of the organizational committees at least three years post intervention (Personal Interview, Jessie Jefferson, 2007). Although the strategic plan was updated in 2005, it was noted in the semi-structured interviews that it was a challenge to get buy-in from coalition members to update the strategic plan due to the sense of accomplishment and empowerment that many of the residents experienced in the development of the coalition's first strategic plan.

The regression model identified two processes including making outcomes matter and assuring technical assistance that were indicated to be strong predictors of community change, but were not rated as highly on the survey of processes by key leaders. In the semi-structured interviews with key leaders, both of these processes were described to be critical factors in the development of the coalition, but were often associated with other related processes. For example, the process of making outcomes matter seemed to be an important process that provided contingencies for both the completion and use of the strategic plan by INC. The Kauffman Foundation required the strategic plan to be completed prior to providing financial resources to the coalition. The integration of the strategic plan by the coalition provided social contingencies of reinforcement in implementing the strategic plan. However, it may be plausible that key leaders more closely associated tasks related to processes such as making outcomes matter and technical assistance with the co-facilitated processes or product that resulted such as strategic planning.

In the semi-structured interviews, key leaders also suggested that the provision of technical assistance was a critical factor that supported the development of the INC. There were several ways that technical assistance was provided to the coalition including through the establishment of lead partners; arrangements with other organizations for community mobilizers; and facilitated supports in the strategic planning process. During the first couple of years of the intervention, the identification of lead partners greatly enhanced the operations of the organization. Project Neighborhood/Move-up provided multiple supports to the organization as the first lead partner through the provision of technical assistance and supports for community mobilization. Another organization that served as a lead partner during the early phases of the study period was Front Porch Alliance. Front Porch also enhanced the organizational functioning of the community coalition through the provision of

office space for the coalition, co-support for youth summer programs and neighborhood improvement projects, and by leveraging resources for organizational activities. The collaborative relationship with Front Porch (a faith-based effort) was critical in helping to facilitate community change, especially prior to the formal hiring of organizational staff. Similarly, the supports provided by the KU Work Group were indicated in the semi-structured interviews to have been important, particularly in the implementation of the strategic planning process.

The lowest survey rating related to the importance of the process on the development of the initiative was related to the process of documentation and feedback. Yet, data resulting from this system were used to provide feedback and accountability in the implementation of the action plan. In the semi-structured interviews it was identified that this was one of the processes that the community and organizational members had the least relative influence and control. Although the intent of the project was to engage community coalition members in all aspects of the participatory research, the organizational leaders had limited opportunity to engage in the development and refinement of tasks related to this process. For instance, the evaluation questions and the identification of important activities to document in the Online Documentation and Support System (ODSS) were already determined by the technical support provider and funder, prior to engagement of the community. Therefore, organizational leaders indicated that some activities and supports that may have been important to INC to track were not considered. This process was viewed by organizational leaders to be the least flexible and adaptable by the community coalition. Challenges related to this participatory research process were evident by the decision of organizational staff to no longer document after the end of the formal collaborative agreement between the Foundation, KU Work Group, and INC.

The semi-structured interviews indicated that the ability of the community coalition to serve as a catalyst for change was also based on contextual factors. The prior history of the Ivanhoe neighborhood to organize (e.g., Ivanhoe Neighborhood Council, block clubs) and successfully implement programs and activities (e.g., Ivanhoe Garden Apartments, block meetings) made the process of convening and facilitating change easier (Wolff, 2001). It allowed for early and ongoing “quick wins” (Francisco & Butterfoss, 2004; Nowell, Berkowitz, Dacon, & Foster-Fishman, 2006). Similarly, the “neighborly climate” of the community made it possible for outside conveners to partner with the coalition (Wolff, 2001). The coalition and neighborhood residents were responsive and appreciative of the supportive efforts of others from outside the organization and Ivanhoe community, as a method for enhancing the capacity of the organization to support community change and improvement.

Another contextual factor that may have advanced the efforts of INC is the presence of a champion. Since the article was published in the KC Star in 1997, the community coalition has always had community change champions that have both publically and privately rallied support for the organization. For example, Bob Reed with Kansas City Power and Lights was instrumental in the formative stages of the organization in brokering support for the organization to pilot a streetlight program for the City. J.B. Nutter has been another community champion that has helped to leverage ongoing supports for INC, including the acquisition and remodeling of a vacant fire station/boxing center, which since the period of this study has been converted into the office headquarters for the organization. Gloria Jackson, who served as the Kauffman Foundation program officer for INC, continued to be a champion for the coalition after the end of the Neighborhood Initiative. Alan Young, as well as other longstanding board members, have also been internal champions for change and improvement within the community. The community capacity-building and sustainability

literature suggests the importance of a champion to ensure necessary internal and external buy-in, leadership, and resources to support community change efforts (Johnson, Hays, Center, Daley, 2004). A future examination of contextual factors associated with effective coalitions may help to determine factors of community readiness as determinants of community change and capacity-building efforts (Foster-Fishman et al., 2001).

How has the coalition contributed to improvements in the neighborhood?

An analysis of the distribution of community changes by goal area, behavior change strategy, and sector gives some insight into the amount and intensity of community changes facilitated by the initiative. The largest percentage of community changes were targeted towards beautification (27%) and adult development (23%). There was a significant difference in the perceived impact of community changes related to beautification efforts, which may support the prioritization of efforts by the coalition in this goal area.

The prioritization of efforts oriented towards neighborhood beautification is consistent with neighborhood goals to enhance the physical demeanor and design of the neighborhood. It has been often noted that physical deterioration contributes to other factors of decline such as increased crime, poor housing, and decreased property value (Bradbury et al., 1982; Foster-Fishman et al., 2007; Nowell et al., 2006). Therefore, neighborhood beautification was a cross-cutting community change goal area that may have also supported several of the other interrelated goal areas including crime and safety, housing and economic development, and youth development. Related coalition activities included tire pick-ups, clean-ups, and placing neighborhood signs in the community.

It was seen as important to enhance the physical appearance of the neighborhood to support increased residential pride and investment in the area (Nowell et al, 2007). Neighborhood appearance has been shown to provide visual cues regarding neighborhood

conditions and norms (Nowell et al., 2007). Beautification efforts not only improved the appearance of the neighborhood, but also provided opportunities for residents to model positive social behaviors and set positive norms that promoted increased sense of community (Nowell et al., 2007). The higher concentration of community changes that supported beautification efforts also enabled “small wins”, which in previous research has been suggested to be important for building community capacity to support comprehensive community change efforts (Butterfoss & Francisco, 2004; Nowell et al., 2007).

The findings also suggest a high proportion of community changes focused on adult development, which largely reflects efforts to increase residential civic engagement (e.g., block contacts) in the community change process. A primary goal of comprehensive community change initiatives is to promote citizen engagement in actively developing and implementing efforts related to community-determined goals (Fawcett et al, 2002; Foster-Fishman et al., 2007). Based on principles of CBPR, it was critical to provide opportunities for residential engagement in facilitating community change and improvement. It is also more likely that community changes will be better implemented and sustained if residents of the local community have a stake and investment in the change process (Foster-Fishman et al, 2007). This study exemplifies the importance of early and ongoing engagement of residents in the community change process (Fawcett et al., 1999; Foster-Fishman et al, 2007). There were increased community changes related to adult development after the community mobilizer was hired in 2002. Many of the community changes targeted adult development related to the provision of supports to block contacts by the community mobilizer for the coalition. It may also reflect a change in reporting practices since the community mobilizer was also documenting direct supports to block contacts.

The distribution of community changes varied among the different goal areas. There was a substantial amount of community change related to youth development (18%) and crime and safety (14%). The least amount of change specifically targeted economic development, health, and housing. Although there were a decreased number of community changes that focused on housing (6%), the relative impact of one change related to housing (e.g., development of new housing units) may be substantial. The study's conclusions about the contribution of changes related to particular goals is further limited since the dimensions (e.g., strategy, sector, goal) of the community changes were not weighted for relative impact in the community. The investigators attempted to begin examining the association between community changes and perceived impact by assessing impact ratings of the survey of community changes to identify common dimensions (e.g., strategy, sector, goal) that were rated high by key leaders.

The various types of strategies implemented over the 4-year study period were often closely associated with pressing identified needs in the community. In 1999, the majority of community changes related to reduced barriers and improved access and opportunities for the community. During this time, a major challenge for the organization was institutional and structural barriers. Many of the changes facilitated during this period were system changes facilitated by the local government to improve access to city-based resources. For instance, the City, in collaboration with Kansas City Power and Lights, piloted the new street light program for Kansas City in the Ivanhoe neighborhood. Another example is a representative from the District Attorney's office started regularly attending coalition meetings to inform the coalition of legal cases that pertained to the area to enhance the advocacy efforts of INC. Then, in 2001, there was a shift in the focus of the coalition to enhance services and supports. This suggests that the coalition had increased capacity to implement programs in the

community through collaboration with partners such as Front Porch Alliance. In 2002, the increased focus on providing information and enhancing skills related to enhanced efforts to mobilize the community through resident engagement. There appeared to be a significant difference in the perceived impact of community changes that were related to enhancing services and supports and providing information and enhancing skills. Community changes that provided information and enhanced skills had the lowest perceived impact ratings

The analysis of contribution by distribution by behavior change strategy provides an indication of the intensity of the effort. The data show that overall the majority of changes implemented by the coalition used strategies such as providing information and enhancing skills and providing support, relatively weak behavior strategies (Boothroyd, 2004).

However, based on the goals of the initiative, provision of information and support were necessary to support goal areas such as adult development, crime and safety, and youth development. The implementation of strategies such as providing information may be easier for direct implementation by community members (e.g., block contacts providing information about community clean-ups to residents). Although providing information may be a weaker strategy, the dose of penetration is intensified through the work of over 100 block contacts. During the time of this study, changing the consequences and policy change were the least employed strategies. The maturity of a community coalition may influence its capacity to implement more intense behavior change strategies such as changing consequences by advocating for city-level policy changes.

The analysis of community change by sector represents the penetration of the coalition's efforts into different areas of the community. It is not surprising that nearly half of the community changes were facilitated by community organizations, which largely reflects the facilitation of activities by the Ivanhoe Neighborhood Council. There were changes in the

distribution by sector over time. In 1999, the facilitation of community change was predominantly in the local government, which may suggest the importance of local government in supporting systems changes to foster improvements in neighborhood conditions. Beginning in 2000, the distribution of changes in the community and cultural organizations reflected the gradual and increased capacity (i.e., staff, resources) of the organization to begin to directly facilitate change.

The results also suggest the importance of working with collaborative partners in facilitating change and improvement in communities. Particularly, in the early stages of the coalition, critical relationships were developed in the faith community (e.g., churches) and local government (e.g., city departments). The collaborative relationship with Front Porch Alliance, a faith-based community organization, helped the coalition to support the implementation of programs during early stages of organizational development. Also, several faith-based entities, including neighborhood churches and Front Porch Alliance, partnered with Ivanhoe to support youth-related programs including after-school and summer programs. For many urban communities, the faith-based sector is a powerful and important collaborator and facilitator of change, with enhanced capacity to reach many community residents (Barton, 1996; Chaskin et al., 2001; Hula & Jackson-Elmoore, 2001; Ross & Leigh, 2000). INC established important relationships with multiple departments and divisions of the local government including the police department, city planning, code enforcement, parks and recreation, and the office of the mayor. INC provides a good model for how local government can work with and in communities to address decline in urban core areas. The importance of establishing key relationships and partnerships in the community to support community change efforts has been well documented in the literature (e.g., Foster-Fishman et al., 2007; Lasker et al., 2001).

A review of the distribution of changes by sectors also suggests that the partnership may be underutilizing some important resources in the community. For instance, there are a substantial number of businesses in the community, yet, few changes occurred in the business sector. In 1999, Ivanhoe received support from several businesses, including Sprint and Kansas City Power and Light, to support efforts in the community. Many urban core areas, such as Ivanhoe, may not have an abundance of neighborhood-based businesses as a result of urban decline. However, the engagement of resources from outside the community can help to provide needed volunteers, materials, and monetary investments, particularly during the initial stages of the development of community-based effort.

Another sector of the community in which there was limited engagement was the neighborhood schools. Although there were several elementary schools within the boundaries of the target area they were not well-engaged in co-supporting this change effort. Enhanced relationships with the local schools could help to provide access to family and youth in the community. The ongoing engagement of schools in community-based efforts is also important for addressing determinants related to disparities in educational outcomes of youth, particularly in urban core areas.

The analysis of contribution by estimated duration helps examine the sustainability of the initiative. The increase in ongoing activities over the life of the coalition suggests the enhanced capacity of the organization to maintain the facilitation of change efforts. Since documentation was suspended after the grant period there is not empirical evidence of the coalition's sustained effect as a catalyst for change. The high rate of ongoing activities, especially in 2002, suggests that the coalition's efforts may have been sustained over time. During the earlier stages of coalition development, the high proportion of single time events

was expected as it often related to activities such as advocacy (e.g., crime vigil, lawsuit for illegal club) efforts or the development of new collaborative relationships

What evidence is there of enhanced leadership capacity?

A secondary question that was analyzed in this study was the evidence of increased capacity of the organization and residents to facilitate and maintain change and improvement in the community. It is important to enhance the capacity of community coalitions to develop, implement, and sustain change (Foster-Fishman et al., 2001). According to Zakocs & Edwards (2006), “although community-level changes are the ultimate indicators of coalition effectiveness, measures of coalition functioning may be plausible surrogates” (p. 352). Leadership capacity is a key indicator of coalition functioning to support community change and improvement (Zakocs & Edwards, 2006). Several indicators were used in this study to assess leadership capacity including resident engagement as block contacts; resident participation in coalition meetings, and the provision of paid staff members. Increases in all three measures suggest that the INC may have demonstrated increased leadership capacity. Further analysis may suggest the contributions of block contacts in improving neighborhood conditions. For instance, a study could examine the relationship between blocks with active block contacts and neighborhood-level indicators such as crime or other measures.

Have there been improvements in community-level outcomes of concern?

Housing and crime related indicators were used to help assess potential improvements in population-level outcomes of concern (e.g., crime rate) related to the targeted goal areas of the coalition. Housing and crime measures were used to examine the overall contribution of the coalition in fostering widespread improvement in the community. Both housing and crime-related issues reflect the interrelated nature of factors associated with decline. Modest improvements in crime and housing outcomes were supported by the

collective efforts of the coalition across various goal areas including beautification efforts (i.e., neighborhood appearance), economic development, adult development (e.g., engagement as block contacts), and youth development.

There were improvements in both housing indicators assessed in this study. There was a modest increase in loan applications for home purchases in the neighborhood based on pre and follow-up measures. The number of total loan applications for home purchase is suggested to be a good indicator that community residents are willing to invest in the neighborhood (Higgins, 2001). It is generally difficult to attract potential homeowners to consider purchasing homes in areas that are blighted and perceived to be unsafe. Additional research studies would need to be done to determine if loans for home purchases are in certain areas of the neighborhood with lower levels of crime.

The other housing indicator used in this study was permits for home improvements. Since 1997, the number of permits for home alterations and repairs has steadily increased. This may indicate the willingness of current residents and homeowners to reinvest in their property. Improvements in housing indicators provide direct evidence that housing conditions are being improved in the neighborhood. Yet, without a stronger experimental design, this study cannot rule out other correlated events, such as government-based home improvement programs, that may have accounted for housing improvements.

The other indicators used in this study to suggest the contributions of INC in supporting improved community conditions are violent and non-violent crime rates. Based on a cross-analysis of community change and crime data, INC's facilitated changes were correlated with decreased rates of overall crime in the neighborhood. However, the decrease in the annual rate of non-violent crime may be following an overall trend in the City. At follow-up, the rate of non-violent crime in Ivanhoe is still greater than for the City, which

may suggest a focus on strategies to specifically counter crimes such as burglaries and other property-related crimes.

Yet, the neighborhood experienced a greater decrease in violent crime rates in comparison to the City overall. The neighborhood supported multiple strategies targeted at decreasing crime. Since the revitalization of the coalition in 1997, INC worked closely with community police officers and other crime-related units. The community police regularly supported the coalition in community-wide activities and multiple police officers regularly attend monthly coalition meetings to collaborate in crime-reduction strategies. One of the functions of the block contacts was to enhance crime reporting on the block-level, which has provided a support system for the Police Department in combating crime. It should also be noted that one of the primary goals of Project Neighborhood/Move-Up was to support efforts to reduce crime in the Ivanhoe neighborhood. The collective response of INC, in partnership with other organizations and agencies in the community may have helped to successfully combat crime. Perhaps, reductions in crime have supported improvements in other goal areas such as housing and youth development. Without stronger experimental design, this study cannot rule out other correlated events such as changes in community policing strategies that may have been responsible for related crime rates in the neighborhood and the City. The study period may have also not allowed for sufficient time required to produce and observe effects, a frequent challenge for studies in community contexts (Shadish, Cook, & Campbell, 2002).

The indicators that were used in this study may not have been the most sensitive measures to analyze the contributions of the INC in supporting change and improvement in the community. There were limitations in identifying more adequate community-level indicators that (a) focused on the neighborhood as the unit of analysis, (b) provided both pre

and post measures within the specified period of the study, or (c) were related to the community change efforts implemented by the coalition. For instance, Ivanhoe has partnered with the University of Missouri-Kansas City to assess beautification efforts in the neighborhood by collecting annual litter indices at the block-level. However, there were no pre-measures of levels of litter in the neighborhood during the study period. Also, in 2000 the Kauffman Foundation partnered with the KU Work Group to administer a community survey with over 100 neighborhood residents to assess resident perceptions of neighborhood problems and resident engagement in community activities. This survey was not administered again after the Kauffman Neighborhood Initiative ended in 2002; there were no follow-up measures for this survey.

Limitations and Challenges

There are both limitations and strengths for the methodology used to examine the effects of the community change effort in the Ivanhoe neighborhood. First, a single case study design does not allow for analysis of potential attribution of effects. The primary consideration of this effort was not sole attribution to the initiative, but rather the documented contribution for enhanced neighborhood capacity to facilitate change and improvement in the community. This study analyzed the implementation of the community change framework rather than focusing solely on the contributions of the Kauffman Initiative. This study was based on the recognition that there were complementary efforts (e.g. city-wide neighborhood planning efforts facilitated by the City Planning and Development Department) that co-supported the facilitation of the community change framework in conjunction with the Kauffman collaboration. It focused on the collective contribution of the coalition to support changes in the environment, which somewhat minimized the threat of related activities and

factors facilitated by the coalition and community partners that may have served as confounding variables.

Second, when there are multiple and interrelated factors and events, it is difficult to assess their unique contributions in complex and adaptive environments (McLeroy et al., 2003). The primary purpose of this study was not the attribution of any particular process (e.g., strategic planning), but rather their collective contribution to supporting the community change framework to enhance neighborhood capacity to foster neighborhood improvement. This study specifically examined the effects of the overall implementation of all phases of the community change framework and related processes as a multi-component approach for supporting the coalition to change targeted outcomes of concern. Future research may use task analyses of these distinctive processes to help assess their level of implementation (e.g., establishing vision and mission, arranging for community mobilizers, developing leadership) (e.g., Watson-Thompson et al., in press).

Third, there are several measurement issues that challenge the interpretation of the results. The documentation of the coalition's efforts are based on self-reported data, which present potential biases and errors including incomplete data collection due to recollection bias and associated underreporting of community changes. The validity of documented data was attempted to be strengthened by (a) prompts to verify the completeness of the data (e.g., monthly supportive contact phone calls with local documenters); (b) triangulation of data was attempted through informal and formal interviews with community partners, and review of meeting notes and documents; and (c) inter-reliability was provided by independent scorers through complete scoring definitions, scoring instructions, and examples (and non-examples) of community change. The high levels of inter-observer agreement suggest internal reliability in scoring of community change data. However, the prompts by the secondary observer

(investigator) may have been reactive and challenged external validity by increasing the documenter's sensitivity or responsiveness to document community changes.

Fourth, there may also be challenges with the validity of the community change measure. The equivalent weighting that each community change received ignores the likelihood of differential amounts and effects of particular community changes. For example, each new collaboration (practice change) facilitated by the coalition is considered a community change and is weighted the same as a policy change (e.g., denial of an amusement license for an area nightclub). The analysis of the dimensions of community change (e.g., sector, goal) does help inform the individual impact of an environmental change. The post-hoc analysis of perceived impact of community changes rated by key leaders may have helped to suggest the potential dimensions of the community change effort associated with improvements in the neighborhood. Yet, additional research is needed to explore the differential effects of various types of community changes, as well as the use of community change as an intermediate measure of socio-environmental change related to more distal population-level outcomes.

Fifth, there are a number of limitations associated with the community case study design. Common threats to internal validity that were experienced by this initiative were history, maturation, and instrumentation (Shadish, Cook, & Campbell, 2002). History may have been a threat to the validity of this study since unrelated events that occurred between the observation periods (i.e., pre, during, and follow-up observations) may have accounted for changes in facilitated rates of community change and the modest improvements in community-level outcomes. Maturation was also another threat to the internal validity of this study. It is possible that the facilitated rates of community change and modest improvements in community-level indicators may have been a function of general improvement over time.

Similarly, it is also plausible that the facilitated rate of community change was due to the maturation of the coalition. The investigators attempted to show that the rate of community change significantly increased over the period of the study.

Although consistent protocols were used for measuring community change, instrumentation changes were a common threat for this longitudinal study since the resources and conditions for measurement may have changed over time (Shadish et al., 2002). This study attempted to ensure a consistent measurement instrument across observers throughout the study through standardized training and routine feedback on inter-observer agreement to community observers and researchers. Yet, self-reports of community change data by coalition leaders may have affected the accuracy and completeness of documented information. The use of retrospective data through interviews to obtain baseline levels of community change may have also limited the accuracy and completeness of reporting (e.g., selective memory), particularly during the earlier stages of the intervention.

Further, the examination of a single participant neighborhood severely limited the generality of the findings. The use of a case study design did not allow for strong attribution of cause and effect regarding the implementation of the community change framework and associated processes. The findings of this study should be interpreted with caution since they may not be generalizable to other communities. The community case study design allowed for an in-depth examination of the implementation of the community change framework in the Ivanhoe Community and may support previous findings related to the community change framework (e.g., Boothroyd et al., 2004; Hyra, 1999; Watson-Thompson, in press). The use of stronger experimental designs, such as an interrupted time-series design, would help to rule out plausible explanations related to the intervention effects. Future community-level studies may consider the use of the interrupted time-series design across smaller segments (e.g.,

quadrants) of the community to systematically allow for stronger explanations of observed effects.

Sixth, it appears that the INC served as a catalyst for environmental change and that the coalition may have contributed to widespread behavior change and improvements in community-level outcomes. However, there was limited information regarding the extent of the coalition's impact on community-level outcomes across several of the targeted goal areas (e.g., youth development, beautification). The lack of community-level indicators around some neighborhood-determined goal areas limits the degree of knowledge regarding the contribution of the coalition to have an impact on specific areas targeted by the coalition. There is a need to develop and collect sensitive measures for assessing coalition efforts related to address broader goal areas such as beautification. The lack of a comparison neighborhood in the community was also a limitation of this study. Future research using a single case study design may be enhanced by the early identification of a comparison community.

Finally, the inability to assess community change data after the end of the engagement with the Kauffman Initiative limits knowledge of continued and sustained implementation of change in the community. Community-based interventions require significant time to create environments that will enable and sustain change (Boothroyd, 2004). Since effects often occur with unpredictable delays in time an extended study period would allow for further empirical evidence of the contributions of the coalition to change community conditions (Shadish, Cook, and Campbell, 2002).

Strengths and Contributions

Despite these limitations, this empirical case study at the community level has a number of strengths. The documentation of community and systems change through an online

documentation system allowed for the coalition's accomplishments to be recorded on an ongoing basis within the context of the natural environment. The process of documenting community changes helped to examine a functional relationship between the implementation of the community change framework and the facilitation of community change. The documentation of both retrospective and prospective data enabled the assessment of the pattern of community change over time. The ongoing and systematic process for data collection allowed for the unfolding of the intervention to be analyzed, contributing to a better understanding of the independent variable. The assessment of community change by levels of intensity and penetration permitted an analysis of the relationship between the quantity or dose of change that was supported by the facilitation of the community change framework and related processes.

The use of both quantitative and qualitative methods enhanced the capacity to understand factors (processes) related to the implementation of the partnership. The use of multiple data collection methods strengthened the documentation of the intervention and provided meaningful and useful techniques for exploring the factors associated with the implementation of an intervention in a fluid urban environment. The documented unfolding of the intervention allowed for further exploration of processes or factors (e.g., developed leadership, community mobilizer, action planning) that enable community change (McLeroy et al., 2003).

The Kauffman Initiative was based on principles of community-based participatory research. The participatory research approach recognizes the value of inherent knowledge derived from experience in less controlled community contexts (Boothroyd, 2004; Minkler & Wallerstien, 2003). The three interrelated parties (funder, researcher, and community) all assumed roles as co-learners in addressing the shared evaluation questions for understanding

the process of change and improvement in an urban environment. The inclusion of collaborative partners in the process of documentation has methodological challenges, but may be an important component of an effective community change initiative. Research questions and methods were developed by the funder and researchers prior to the engagement of INC in this project. The documentation process may have had enhanced utility by the coalition if they had been more fully engaged in the development and refinement of the research questions and measures. However, the active engagement of coalition members in the implementation of the coalition's activities through the integration of the action plan in coalition meetings served as a promising method of participatory action research.

This study suggests the importance of establishing collaborative relationships with multiple community sectors to address community-determined goals through implementation of multiple behavioral strategies. The interrelated and complex issues that plague urban communities are addressed more efficiently and effectively through interventions that engage the community in identifying both the problems and solutions (Florin and Wandersman, 1990). The systematic measurement of community change provides a tool for implementing, reviewing, and updating the action plan as a mechanism for accountability and adjustment.

Finally, the implementation of the Kauffman Neighborhood Initiative, a comprehensive community change effort, provided an enabling system of support for INC (Mitchell, Florin, & Stevenson, 2002; Wandersman and Florin, 2003). It aided the coalition in fostering change and improvement in the community. The substantial resources and supports provided through the Kauffman initiative may limit the generality of these findings for other community change efforts. The financial resources and technical assistance in the strategic planning process helped INC to establish a solid foundation to support its work.

Implications for Future Research and Practice

The following emergent lessons about the facilitation of a community change framework and related processes may contribute to an enhanced understanding of the contributions of comprehensive community change efforts to facilitate improvement in urban environments. In documenting the community change process for community-based efforts, it is important to use multiple methods of obtaining data, both qualitative and quantitative techniques, to enhance the understanding of factors affecting community change (McLeroy et al., 2003; Hyra, 1999; Goodman et al., 1996). It is challenging to obtain empirical evidence of the impact of an initiative on a neighborhood level. However, the community case study design, though lacking in rigor, can contribute to understanding of the community change process in contexts where stronger experimental control may not be possible.

The factors (processes) associated with the facilitation of the community change framework were examined in this study and the findings support other empirical literature suggesting critical factors affecting the effectiveness of comprehensive community initiatives (Paine-Andrews et al., 2000; Roussos & Fawcett, 2000). The correlated factors (processes) that enabled the facilitation of community change were identified through surveys and qualitative assessments from interviews with organizational staff, community leaders, partnering organizations, and investigators. Although the community processes are interrelated, there is a need for research that more specifically examines the individual and interactive contributions of these processes to support change and improvement.

Emerging Lessons Related to the Implementation of the Community Change Framework

The following emerging lessons about the implementation and evaluation of the community change framework may help to enhance and guide research and practice of community-based efforts. These recommendations reflect both empirical information and

qualitative assessments, and they expand upon and/or support lessons from previous research (e.g., Boothroyd, 2003, Paine-Andrews et al., 2000; Watson-Thompson et al., 2005). As propositions, they suggest a rich research agenda for future investigators.

General Lessons

1. Grassroots-based community coalitions can be an effective catalyst for community change and improvement to address multiple determinants of health and well-being.
2. Comprehensive community change initiatives can enhance the capacity of community coalitions to facilitate change and improvement, especially in urban areas.
3. The implementation of the community change framework and related processes are not linear. Many of the processes are interdependent and a change in one process may necessitate a corresponding change in another. For instance, if staff is hired to enhance leadership capacity it may result in changes in the organizational structure or operating mechanism. Further, the processes are interactive and at times may be dually implemented. For example, the community mobilizer may serve as both a mobilizer and the technical assistance provider for residents and organizations in the community.
4. The effective facilitation of processes in the first phase of the community change is critical and provides a foundation to support later processes implemented in the other phases.

Phase 1: Community Assessment and Planning

Developing a Strategic Planning

5. The establishment of a vision and mission to guide the collaborative work of the effort may be one of the more crucial components of the strategic planning process.
The vision and mission must be self-determined by the community.
6. Engagement in the strategic planning process can help to initiate the facilitation of community change by a community-based effort.
7. The integration of the strategic plan can help to provide accountability and support for the later facilitation of actions in the community.

Phase 2: Implementing Targeted Action

Developing Leadership

8. The development of leadership is necessary for ensuring enhanced capacity of the organization to facilitate and sustain community change and improvement over time.
Enhancing the capacity of leadership is a key strategy for creating and maintaining conditions necessary for long-term changes and improvements. Leadership development can enable community empowerment and increased community efficacy over local conditions and outcomes (Wolff, 2001).
9. It is important to attend to the process of leadership development in every phase of collaborative organizing and action (e.g., action planning, implementation of interventions).
10. Continuity in leadership can help to sustain a community change effort over time.
11. Resident-based leaders (e.g., block contacts, committee chairs) can increase the capacity of the organization to support sustained change over time and across different places (e.g., blocks, neighborhoods). The block contact approach may be an

effective strategy for mobilizing large groups of people in community action and change efforts. The distribution of leadership through the engagement of residents in specific and defined roles such as block contacts may be an effective approach for mobilizing large geographical areas, particularly urban areas.

12. The leadership provided by key staff (e.g., executive director) can enhance the implementation of the community change framework.
13. It is important for organizational and community leaders (e.g., board, staff) to (re)negotiate roles and responsibilities, particularly when there are transitions in leadership.

Defining Organizational Structure and Operating Mechanisms

14. The appropriate type of organizational structure and operating mechanism may evolve over time as the needs of the community-based effort changes due to increased capacity of the organization. Therefore, it is important to negotiate and renegotiate roles and responsibilities of organizational leaders and collaborative partners to minimize conflict.

Arranging for Community Mobilizers

15. A skilled community mobilizer may have the most immediate impact on rates of facilitated community change.
16. The presence of a community mobilizer greatly enhances the facilitation of the community change process. A skilled community mobilizer can aid in promoting action and building the capacity of community residents.
17. Residents can effectively mobilize smaller segments of the community (e.g., blocks) and may serve as informal community mobilizers.

Documenting Progress and Using Feedback

18. The process of documenting and using feedback may be more meaningful to the community-based effort when community and organizational representatives help to define the types of information to be documented. It is important to ensure that the community is not only documenting what is important for the purpose of the funder and evaluator, but that it also has high utility and value for the community-based effort. The community should feel comfortable in negotiating the types of information that are collected to ensure that it meets the evaluation needs of the community.

Phase 3: Changing Community Conditions and Systems

Implementing Interventions

19. The concentration of community change in a geographical area can support changes in community conditions and improvement in targeted outcomes and goals.
20. The provision of information, in itself, is a weak behavior change strategy. Providing information as a strategy for supporting community change may have greater impact when it is delivered in a high dose such as through many change agents (e.g., 100 block contacts) or when coupled with a stronger behavior change strategy (e.g., changing policy).

Technical Assistance

21. The provision of technical support in implementing the community change process can enhance the leadership and organizational capacity of the organization, especially during the formative stages of an initiative.
22. The technical assistance needs of a community coalition will change over time with enhanced internal capacity and engaging community needs.

Phases 4 and 5: Achieving Widespread Behavior Change and Improvements in Outcomes

Making Outcomes Matter

23. Contingencies associated with the facilitation of the community change process can help to ensure ongoing implementation of the community change framework. For instance, the conditions set by the Kauffman Foundation to not provide direct funding until completion of the strategic plan helped to dually support multiple processes.

Sustaining the Work

24. The commitment and capacity of a community to facilitate and sustain change can be gauged by the level of engagement in the organization's change efforts before allocation of direct funding.
25. A central indicator of community capacity and change is the sustainability of a community change effort over time.

Supportive Conditions for Facilitating the Community Change Framework

26. There may be a level of neighborhood or community readiness for change that enables the facilitation of the community change process. Foster-Fishman et al. (2007) defines community readiness as the "degree to which communities have accepted that change is needed and feasible and that the program or action that is designed to address a problem will succeed" (p. 94). The readiness of a community to implement the community change framework may be more effective when the driving force for engaging in a community change process is the community.
27. Communities that have a shared history of collaborative engagement, either informal or formal, helps to set the conditions to support a community change effort.

28. The facilitation of the community change framework may be enhanced if the community effort already has a past history of shared success or “small wins”. The full implementation of all phases of the community change framework can be a lengthy process. It may be more difficult to maintain the engagement and momentum of community residents over time without some early sense of shared victory either prior to or during the early phases of the implementation of the community change framework.
29. The community change process is iterative and interactive and is facilitated over an extended period of time. However, ongoing success buffers the organization during periods of slow facilitation of community change (Wolff, 2001).
30. A community champion can help to create necessary conditions for implementing the community change process (Johnson et al., 2004). Johnson et al. (2004) define a champion as “influential or proactive individuals inside or outside [the community]” (p. 143).
31. The establishment of a lead organization can be helpful in facilitating the community change process. The lead organization may at times be external, such as a partnering organization, or a coalition may serve as its own lead agency.
32. Community change efforts that result from a common problem or goal may be more likely to be sustained over time. Wolff also contends that “coalitions are more likely to succeed when the motivation for the coalition comes from within the community” (Wolff, 2001, p. 174).

Recommendations for Practitioners, Researchers, and Grantmakers

Recommendations for Practice in Comprehensive Community Change Initiatives

1. Establish a clear vision and mission that that enables people to unite through a common purpose and motivates the organization to support change in the community (Wolff, 2001).
2. Develop and implement a strategic plan and use it as a tool to guide the facilitation of the community change process.
3. Identify community and organizational leaders that will commit to supporting and facilitating the change process in the community.
4. Provide distributed leadership opportunities to allow residents to engage in supporting the community change framework at multiple levels.
5. Promote the involvement of all community residents by providing a variety of leadership opportunities for residents in the community with varying levels of skill and education.
6. Engage leaders in capacity-building activities to enhance the functioning of the organization and to develop a network of residents and organizations that can implement and sustain change and improvement in a community.
7. Provide clearly defined roles and responsibilities for working together (e.g., rules for decision-making, clear roles and responsibilities, communication)
8. Collaborate with other organizations and agencies in the community to support the facilitation of the community change process by establishing clear and complementary roles and responsibilities that will enhance the overall development of the community.

9. Ensure supports for a community mobilizer either through provisions for paid staff, negotiated roles and responsibilities with like-minded organizations, or training of residents to serve as mobilizers to enable change in the community.

Recommendations for Community-Based Participatory Research

10. Examine the relationship between indicators of neighborhood readiness, community capacity, and community change. Explore the conditions associated with community and organizational “readiness” that suggests the capacity of a community-based effort to facilitate community change and improvement. It may be important to determine the critical dimensions of readiness that enable the effective implementation of the community change framework.
11. Develop methods for assessing the relative impact of community changes by establishing protocols to weight the quality or impact of changes being facilitated in the community.
12. Conduct a functional assessment of community processes to better understand the order of implementation of processes (e.g., action planning, developing leadership). It may be helpful to identify those processes that are necessary for supporting the facilitation of other processes (e.g., leadership development, strategic planning).
13. Provide opportunities for representatives of the organization or community to be involved in refining the documentation and evaluation process and methods.
14. Develop methods to provide visual analysis (e.g., geo-mapping, Photovoice) of the concentration of community change efforts and potential changes with associated outcomes.
15. Promote the use of stronger experimental designs, such as the interrupted time-series design, by communities to allow for stronger explanations of observed effects. In

future community-level research and practice, the systematic implementation of intervention components (e.g., block contact programs) across smaller segment of the community (e.g., quadrants) may allow for the systematic examination of observed effects.

Recommendations for Grant Makers and Other Funders

16. Provide contingencies directly associated with the attainment of initiative outcomes (Fawcett et al., 1997; Roussos & Fawcett, 2000) to support communities in facilitating multiple components of the community change framework.
17. Continue to facilitate comprehensive community change initiatives to support multi-goal change and improvement in communities, particularly in communities of historical disinvestment.
18. Ensure long-term investments of time and resources for community-based efforts. It is important that a funding agency understands that there may be a delay between the implementation of the community change framework and improvements in longer-term outcomes. Funders should ensure a sufficient study period that allows enough time to produce intended effects.
19. The concentration of resources in a geographical location can support widespread change and improvement in communities.

Summary

This empirical case study allowed for an exploratory analysis of the implementation of the community change framework by a community coalition aimed at supporting change and improvement in a declining urban neighborhood. According to Yin (1993) case studies can support “analytic generalization”. This study suggests that there are important factors or processes (e.g., developed leadership, organizational structure) that may enhance the capacity of a community coalition to support and sustain positive changes in community conditions and outcomes of concern. The use of processes related to the components of the community change framework was important for understanding the unfolding and contribution of the community change facilitated by the community coalition.

The Kauffman Neighborhood Initiative provides insight for understanding the facilitation of the community change framework through important community processes. The initiative helps to understand the collective contribution of community-based efforts in supporting change and improvement. Comprehensive community change efforts can help to provide the conditions to support the facilitation of change and improvement by communities. The concentration of supports through place-based efforts can be an effective approach for enhancing the quality of life and improving outcomes in communities that have experienced deterioration and decline.

This study suggests that community coalitions can be an effective catalyst for change and improvement in the community. The active engagement of communities in defining their own problems and methods for addressing them is important for implementing and sustaining comprehensive community change efforts. Studies such as this provide lessons for community coalitions, technical support providers, and funders in ensuring appropriate conditions for success, especially in areas that have experienced historical disinvestment.

For nearly a half decade, many urban neighborhoods have been attempting to rebound from the devastating affects of urban decline. Poor responses to addressing the interrelated determinants of health and well-being such as unemployment, education, and housing, have persistently challenged many urban core communities. Community-based efforts that promote the infusion of concentrated resources and supports to simultaneously address the interrelated and multiply determined factors of decline can be an effective strategy for improving neighborhood conditions. Comprehensive community change efforts that build community capacities to facilitate change create necessary conditions for overall health and well-being of even the most economically distressed communities.

References

- Banfield, E. (1968). *The unheavenly city*. Boston: Little, Brown.
- Baum, H.S. (2001). How should we evaluate community initiatives? *Journal of the American Planning Association*, 67(2), 147-158.
- Berkowitz, B. (2001). Studying the outcomes of community-based coalitions. *American Journal of Community Psychology*, 13, 213-28.
- Boothroyd, R.I. (2003). Analyzing the contribution of environmental change to prevent adolescent pregnancy: A study of three multi-component community initiatives in Kansas. Unpublished doctoral dissertation, University of Kansas, Lawrence.
- Boothroyd, R.I., Fawcett, S.B., Foster-Fishman, P.G. (2004). Community development: Enhancing the knowledge base through participatory research, in L.A. Jason, C.B. Keys, Y. Suarez-Balcazar, R.R. Taylor, & M.I. Davis (Eds.), *Community Research: Theories and Methods in Action* (pp. 37-52). Washington, D.C.: American Psychological Association.
- Bradbury, K.L., Downs, A., Small, K.A. (1982). *Urban decline and the future of American cities*. Washington, D.C.: Brookings Institute.
- Chaskin, R.J. (2001). Building community capacity: A definitional framework and case studies from a comprehensive community initiative. *Urban Affairs Review*, 36, 291-323.
- Chaskin, R.J., Brown, P., Venkatesh, S., & Vidal, A. (2001). *Building community capacity*. New York: Aldine De Gruyter.
- Claritas, Inc. (2000). *Untitled Report*. San Diego: Author.
- Cornerstone Consulting Group (2002). *Eng games: The challenge of sustainability*. Baltimore, MD: Annie E. Casey Foundation.

- Glaser, R.B., Denhardt, & Glaser, M.A. (1999). Communities at risk: A community perspective on urban social problems. *National Civic Review*, 88(12), 145-154.
- Downs, A. (1997). Suburban inner-city ecosystem. *Journal of Property Management*, 62, 60-66.
- Edelman, I. (2000). Evaluation and community-based initiatives. *Social Policy*, 31(2), 13-23.
- Emshoff, J.G., Darnell, A.J., Darnell, D.A., Erickson, S.W., Schneider, S., & Hudgins, R. (2007). Systems change as an outcome and a process in the work of community collaborative for health. *American Journal of Community Psychology*, 39, 255-267.
- Ewing Marion Kauffman Foundation. (2004). *Kauffman thoughtbook*. Kansas City, MO: Author.
- Fawcett, S.B. (1991). Some values guiding community research and action. *Journal of Applied Behavior Analysis*, 24(4), 621-636.
- Fawcett, S.B., (1999). Some lessons on community organization and change. In J. Rothman (Ed.), *Reflections on community organization: Enduring themes and critical issues* (pp. 314-334). Itasca, IL: Peacock.
- Fawcett, S. B., Boothroyd, R., Schultz, J. A., Francisco, V. T., Carson, V., & Bremby, R. (2003). Building capacity for participatory evaluation within community initiatives. In Y. Suarez-Balcazar & G.W. Harper (Eds.), *Participatory evaluation of community interventions*: (pp. 21–36). Binghamton, NY: Haworth Press.
- Fawcett, S.B., Francisco, V.T., Hyra, D., Paine-Andrews, P., Schultz, J.A. et al. (2000a). Building healthy communities. In A.R. Tarlov and R.F. St Peter (Eds.), *The society and population health reader: State and community applications* (75-93). New York: The New Press.

- Fawcett, S. B., Francisco, V. T., Paine-Andrews, A., and Schultz, J. (2000b). A model memorandum of collaboration: A proposal. *Public Health Reports*, 115, 174-179.
- Fawcett, S. B., Paine-Andrews, A., Francisco, V. T., Schultz, J. A., Richter, K. P., Lewis, R. L., Williams, E., Harris, K. J., Berkley, J., Fisher, J., and Lopez, C. (1995). Using empowerment theory in collaborative partnerships for community health and development. *American Journal of Community Psychology*, 23, 677-697.
- Fawcett, S. B., Paine-Andrews, A., Francisco, V. T., Schultz, J. A., Richter, K. P., Lewis, R. L., Harris, K. J., Williams, E., Berkley, J., Lopez, C., and Fisher, J. L. (1996). Empowering community health initiatives through evaluation. In D. M. Fetterman, S. J. Kaftarian, and A. Wandersman (Eds.), *Empowerment evaluation: Knowledge and tools for self-assessment and accountability* (Pp. 161-187). Thousand Oaks, CA: Sage.
- Fawcett, S. B., Lewis, R. K., Paine-Andrews, A., Francisco, V. T., Richter, K. P., Williams, E. L., et al. (1997). Evaluating community coalitions for the prevention of substance abuse: The case of Project Freedom. *Health Education and Behavior*, 24 (6), 812-828.
- Fawcett, S.B., Schultz, J.A., Carson, V., Renault, V., Francisco, V. (2002). Using internet based tools to build capacity for community based participatory research and other efforts to promote community health and development. In M. Minkler & N. Wallerstein (Eds.), *Community based participatory research for health* (pp. 157-178). San Francisco: Jossey-Bass.
- Feinberg, M.E., Greenberg, M.T., & Osgood, D.W. (2004). Readiness, functioning, and perceived effectiveness in community prevention coalitions: A study of communities that care. *American Journal of Community Psychology*, 33, 163-176.

- Florin, P., & Wandersman, A. (1990). An introduction to citizen participation, voluntary organizations, and community development: insights for empowerment through research. *American Journal of Community Psychology*, 18(1), 41-54.
- Foster-Fishman, P., Berkowitz, S.L., Lounsbury, D.W., Jacobson, S., & Allen, N.A. (2001). Building collaborative capacity in community coalitions: A review and integrative framework. *American Journal of Community Psychology*, 23, 241-261.
- Foster-Fishman, P., Cantillon, D., Pierce, S.J., & Egeren, L.A. (2007). Building an active citizenry: The role of neighborhood problems, readiness, and capacity for change. *American Journal of Community Psychology*, 39, 91-106.
- Francisco, V. T., Paine, A., & Fawcett, S. B. (1993). A methodology for monitoring and evaluating community health coalitions. *Health Education Research*, 8, 403-416
- Galaty, F.W., Allaway W.J. & Kyle R.C. (2000) *Modern Real Estate Practice (15th ed)*. Chicago: Real Estate Education Company.
- Glaser, M. A., Denhardt, K. G., & Grubbs, J. W. (1997). Local government-sponsored community development: Exploring relationships between perceptions of empowerment and community impact. *American Review of Public Administration*, 27(1), 76-94.
- Goodman, R.M., Wandersman, A., Chinman, M., Imm, P., & Morrissey, E. (1996). An ecological assessment of community-based interventions for prevention and health promotion. *American Journal of Community Psychology* 24(1), 33-61.
- Gotham, K.F. (2002). *Race, real estate, and uneven development: The Kansas City experience, 1900-2000*. Albany, NY: State University of New York Press.
- Hancock, L. (2001). *Community, crime, and disorder: Safety and regeneration in urban neighbourhoods*. New York: Palgrave.

- Hansen, N.M. (1975). *The challenge of urban growth: the basic economics of city size and structure*. Lexington, MA: Lexington Books.
- Higgins, D.L., & Metzler, M. (2001). Implementing community-based participatory research centers in diverse urban settings. *Journal of Urban Health: Bulletin of the New York Academy of Medicine*, 78(3), 488-494.
- Higgins, L. (2001). *Gathering and presenting information about your neighborhood*. LISC Center for Home Ownership. Retrieved on October 24, 2007 from www.liscnet.org/resources
- Hula, R.C. & Jackson-Elmoore, C. (2001). Nonprofit organizations as political actors: Avenues for minority political incorporation. *Policy Studies Review*, 18, 27-50.
- Hyra, D.S. (1999). Documenting a comprehensive community change process in the Bronzeville neighborhood of mid-south Chicago. Unpublished master's thesis, University of Kansas, Lawrence.
- Institute of Medicine. (2003). The community. In *The future of the public's health in the 21st century*. (p.p. 178-211). Washington, DC: National Academies Press.
- Israel, B.A., Schultz, A.J., Parker, E., & Becker, A.B. (1998). Review of community-based research: Assessing partnership approaches to improve public health. *Annual Review of Public Health*, 19, 173-202.
- Ivanhoe Neighborhood Council. (2005). *Ivanhoe neighborhood plan*. Retrieved October 15, 2007, from <http://www.kcmo.org/planning.nsf/plnpres/ivanhoe?opendocument>

- Jackson, S.F., Cleverly, S., Poland, B., Burman, D., Edwards, R., & Robertson, A. (2003). Working with Toronto neighbourhoods towards developing indicators of community capacity. *Health Promotion International*, 18, 339-350.
- Jenkins, Burris. (1924). *The Miracle of Ivanhoe*. Kansas City, MO: Ivanhoe Temple Co.
- Johnson, K., Hays, C., Center, H., & Daley, C. (2004). Building capacity and sustainable prevention innovations: A sustainability planning model. *Evaluation and Program Planning*, 27, 135-149.
- Johnston, J.A., Marmet, P.F., Coen, Fawcett, S.B. & Harris, K.J. (1996). Kansas Lean: an effective coalition for nutrition education and dietary change. *Journal of Nutrition Education*, 28, 115-118.
- Kaye, G. (2001). Grassroots involvement. *American Journal of Community Psychology*, 29, 269-286.
- Kansas City, MO Planning and Development Department. (2003). [Census neighborhood profile.] Unpublished raw data.
- Keller, M. C., Stickler, A., McElroy, K., and Male, S. H. (1998). Factors that contribute to effective community health promotion coalitions: a study of 10 project ASSIST coalitions in North Carolina. *Health Education and Behavior*, 25, 338-353.
- Keller, M.C., Twists, J.M., & Look, V. (2000). Assessing community change at multiple levels: The genesis of an evaluation framework for the California healthy cities project. *Health Education and Behavior*, 27(6), 760-779.
- Keller, M.C., & Wyatt, V.H. (2003). Multiple case study of neighborhood partnerships for positive youth development. *American Journal of Health Behavior*, 27(2), 158-169.

- Kreuter, M.W., Lezin, N.A., & Young, L.A. (2000). Evaluating community-based collaborative mechanisms: Implications for practitioners. *Health Promotion Practice, 1*, 49-63.
- Krumholz, Norman. (1997). Urban planning, equity planning, and racial justice. In J. M. Thomas and M. Ritzdorf (Eds.), *In the shadows: Urban planning and the African American community*. (pp. 109-125). Thousand Oaks, CA: Sage.
- Lasker, R.D., Weiss, E.S., & Miller, R. (2001). Partnership synergy: A practical framework for studying and strengthening the collaborative advantage. *The Milbank Quarterly, 79*(2), 179-205.
- McLeroy, K.R., Norton, B.L., Kegler, M.C., Burdine, J.N., Sumaya, C.V. (2003). Community-based interventions. *American Journal of Public Health, 93* (4), 529.
- Mechanic, David. (2007). Population health: Challenges for Science and society. *The Milbank Quarterly, 85*(3), 533-559.
- Metzler, M., Higgins, D., Beeker, C.G., Freudenberg, N., Lantz, P., & Senturia, K. (2003). Addressing urban health in Detroit, New York City, and Seattle through community-based participatory research partnerships. *American Journal of Public Health, 93* (5), 803-811.
- Minkler, M., Glover Blackwell, A., Thompson, M., & Tamir, H. (2003). Community-based participatory research: Implications for public health funding. *Public Health Advocacy Forum 93*(8), 1210-1213.
- Mitchell, R.E., Florin, P., & Stevenson, J.F. (2002). Supporting community-based prevention and health promotion initiatives: Developing effective technical assistance systems. *Health Education and Behavior, 29*, 620-639.

- Newman, K., & Lake, R. (2006). Democracy, bureaucracy, and difference in the U.S. community development politics since 1968. *Progress in Human Geography*, 30(1), 44-61.
- Nowell, B.L., Berkowitz, S.L., Deacon, Z., & Foster-Fishman, P. (2006). Revealing the cues within the community places: Stories of identify, history, and possibility. *American Journal of Community Psychology*, 37, 29-46.
- Nye, N., & Glickman, N.J. (2000). Working together: Building capacity for community development. *Housing Policy Debate*, 11, 163-198.
- Paine-Andrews, A., Fawcett, S. B., Richter, K. P., Berkley, J., Williams, E. L., and Lopez, C. (1996). Community coalitions to prevent adolescent substance abuse: The case of the “Project Freedom” replication initiative. *Journal of Prevention and Intervention in the Community*, 14, 81-99.
- Paine-Andrews, A., Fisher, J.L., Berkley-Patton, J., Fawcett, S.B., Williams, E.L., Lewis, R.K., et al. (2002). Analyzing the contribution of community change to population health outcomes in an adolescent pregnancy prevention initiative. *Health Education and Behavior*, 29, 183-193.
- Paine-Andrews, A., Fisher, J.L., Harris, K.J., Lewis, R.K., Williams, E.L., et al. (2000). Some experimental lessons in supporting and evaluating community-based initiatives for preventing adolescent pregnancy. *Health Promotion Practice*, 1 66-76.
- Paine-Andrews, A., Harris, K. J., Fisher, J. L., Lewis, R. K., Williams, E. L., et al. (1999). Effects of a replication of a school/community model for preventing adolescent pregnancy in three Kansas communities. *Family Planning Perspectives*, 31, 182-189.
- Pilisuk, M. McAllister, M., & Rothman, J. (1996). Coming together for action: The challenge of contemporary grassroots community organizing. *Journal of Social Issues*, 52, 15-37.

- Ross, C.L., & Leigh, N.G. (2000). Planning, urban revitalization, and the inner city: An exploration of structural racism. *Journal of Planning Literature*, 14, 367-380.
- Roussos, S. and Fawcett, S. B. (2000). A review of collaborative partnerships as a strategy for improving community health. *Annual Review of Public Health*, 21, 369-402.
- Sanchez, M. (1997, June 17). Inadvertent activist fights for neighbors. *The Kansas City Star*, pp. B1, B2).
- Schultz, J.A., Bremby, R., Cyprus, J., & Collie, V. (2000). *Some tools for measuring urban neighborhood improvement in the Kansas City metro area: Three neighborhood area profiles*. Lawrence, KS: Work Group for Community Health and Development, University of Kansas.
- Shadish, Cook, & Campbell. (2002). *Experimental and quasi-experimental designs*. Boston: Houghton Mifflin Company.
- Shannon, T.R. (1983). *Urban problems in sociological perspective*. New York: Random House.
- Shonkoff, J.P., & Phillips, D.A. (2000). *From neurons to neighborhoods. The science of early childhood development*. Washington, DC: National Academy Press.
- Smock, K. (1997). *Comprehensive community initiatives: A new generation of urban revitalization strategies*. Retrieved on October 2007 from <http://comm-org.utoledo.edu/papers97/smock/cciweb2.htm>
- Sorensen, G., Emmons, K., Hunt, M.K., & Johnston, D. (1998). Implications of the results of community intervention trials. *Annual Review of Public Health*, 19, 379-416.
- Tellis, W. (1997). Introduction to case study. *The Qualitative Report*, 3. Retrieved October 20, 2007 from <http://www.nova.edu/ssss/QR/QR3-2/tellis1.html>

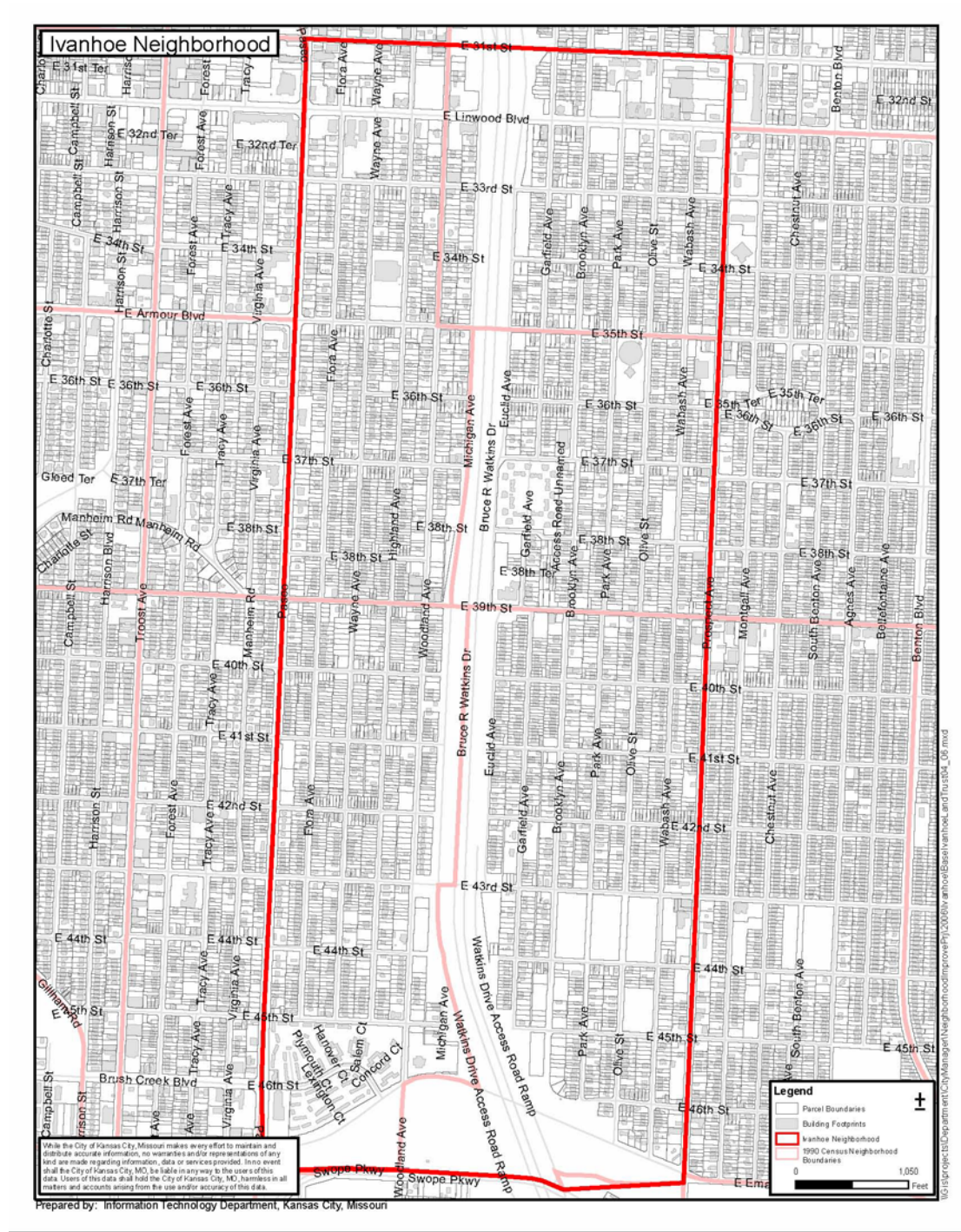
- Thompson, B., Lichtenstein, E., Corbett, K., Nettekoven, L., Feng, Z. (2000). Durability of tobacco control efforts in the 22 community intervention trial for smoking cessation (COMMIT) communities 2 years after the end of the intervention. *Health Education Research, 15*(3), 353-366.
- U.S. Census Bureau. 2000 Census of Population and Housing. Retrieved January 10, 2004 from <http://www.census.gov>
- Vlahov, D., Freudenberg, N., Proietti, F., Ompad, D., Quinn, A., Nandi, V., et al. (2007). Urban as a determinant of health. *Journal of Urban Health: Bulletin of the New York Academy of Medicine, 84*(1), 16-26.
- Wandersman A. (2003). Community science: Bridging the gap between science and practice with community-centered models. *American Journal of Community Psychology, 31* (3/4), 227-242.
- Wandersman, A., & Florin, P. (2003). Community interventions and effective prevention. *American Psychologist, 58*, 441-448.
- Wallerstein, N., Polascek, M., & Maltrud, K. (2002). Participatory evaluation model for coalitions: The development of systems indicators. *Health Promotion Practice, 3*, 361-373.
- Watson-Thompson, J., Fawcett, S.B., Schultz, J. (in press). Differential effects of strategic planning on community change in two urban neighborhood coalitions. *American Journal of Community Psychology*.
- White GW. (2002). Consumer participation in disability research: The golden rule as a guide for ethical practice. *Rehabilitation Psychology, 47*, 438-46.

- White, G.W., Suchowierska, M., & Campbell, M. (2004). *Developing and systematically implementing participatory action research*. *Archives of Physical Medicine and Rehabilitation*, 85, 3-12.
- Wolff, T. (2001). Community coalition-building—Contemporary practice and research: Introduction. *American Journal of Community Psychology*, 29, 165-171.
- Yin, R.K. (1991). *Case study research: Design and methods*. Newbury Park, CA: Sage Publications.
- Yin, R. (1993). *Applications of case study research*. Beverly Hills, CA: Sage Publishing.
- Yin, R. (1994). *Case study research: Design and methods* (2nd ed.). Beverly Hills, CA: Sage Publishing.
- Yin, J.S. (1998). The community development industry system: A case study of politics and institutions in Cleveland, 1967-1997. *Journal of Urban Affairs*, 20, 137-57.
- Zakocs, R.C., & Edwards, E.M. (2006). What explains community coalition effectiveness? A review of the literature. *American Journal of Preventive Medicine*, 30, 351-361.
- Zakocs, R.C., & Guckenburg, S. (2007). What coalition factors foster community capacity? Lessons learned from the Fighting Back Initiative. *Health Education and Behavior*, 34, 354-375.

Appendices

Appendix A

Map of the Ivanhoe neighborhood



Appendix B

Scoring Instructions for Community Changes (CC)

General definition: Community changes are new or modified programs, policies or practices in the community (neighborhood) facilitated by the initiative (Ivanhoe Neighborhood Council) or collaborative partners that relates to the goals of the initiative. Changes that have not yet occurred, which are unrelated to the group's goals or those which the initiative or collaborative partners had no role in facilitating are not considered community changes for the initiative.

- CC1 Community changes must meet all of the following criteria:
 - CC1.1. have occurred (not just planned), and
 - CC1.2. include community members external to the initiative, and
 - CC1.3. are related to the initiative's identified goals and specific objectives, and
 - CC1.4. are facilitated by the initiative or collaborative partners acting on behalf of the initiative.
- CC2 The *first* instance of a new program or practice in the community is scored as a community change, since it constitutes a change in a program or practice in the community.
- CC3 The *first* occurrence of collaboration between community members external to the initiative is a community change (a change in practice).
- CC4 Not all first-time events are community changes; *the event must meet all parts of the definition of a community change*. For example, if staff members attended a seminar for the first time, this is not a community change since it is *not* a new or modified program, policy or practice of an organization.

Examples of Community changes:

- 1) Collaborative partnership between law enforcement, Legal Aid, and Ivanhoe residents resulted in blocked expansion of the Red Door Lounge and denial of an amusement license for the owner. (Change in policy directly related to the actions of the group)
- 2) Front Porch Alliance and Ivanhoe Neighborhood Council sponsored new program offering Financial Literacy classes to Ivanhoe residents. (New program initiated by the initiative and a collaborative partner).
- 3) In effort to reduce illegal tire dumping in the neighborhood 36 "No more tires" signs were placed around neighborhood. (New practice related to goals of the initiative).

Examples of items not scored as community changes:

- 1) Ivanhoe Neighborhood Council will provide an awareness campaign on the effects of diet and exercise on their physical and emotional health. (This is a future activity that has not occurred. It will only be scored if it already occurred.)

Appendix C

Interview Protocol for the Analyzing Contributions of the Ivanhoe Neighborhood Council

Introduction to the interview: The purpose of the interview is to learn about the history and future of the Ivanhoe Neighborhood Council from your perspective.

Overall Themes: What worked? What didn't work? How do we get to the next phase of success?

Mission of the Initiative: (What were you trying to accomplish?)

- 1) Describe your involvement with the Ivanhoe Neighborhood Council.
- 2) What was it you were trying to accomplish? (Intended Outcomes)
- 3) What was the initiative's vision and mission for success?
- 4) Did the initiative encounter any barriers in choosing the vision and mission?

Context of the Initiative: (In what context were you working?)

- 1) What brought about your involvement in the organization?
- 2) How involved are other members of the community with the organization?
- 3) What factors have contributed to the success of the organization?
- 4) What features/aspects of the community affected this project?

Critical Events of the Initiative: (What activities influenced the success of the organization?)

- 1) What events were critical to the success of the initiative?
- 2) What were the consequences of the events for the initiative?

Assessment of Strengths and Challenges: (What worked? What didn't work?)

- 1) What worked especially well for the organization?
- 2) What are the particular strengths of the organization?
- 3) What were the most significant achievements of the organization?
- 4) What has not worked well for the organization?
- 5) What specific challenges has the organization faced?

Key Resources & Support:

- 1) What key resources and supports (e.g., people, financial resources, political influences, etc...) were particularly helpful to the initiative?
- 2) What additional support, if available, would have further contributed to success?

Consequences:

- 1) What have been the positive consequences/benefits of the organization?
- 2) Were there any negative consequences?

Overall Lessons Learned:

- 1) What lessons have you learned from the experience?
- 2) What was discovered, or surprising?

Future Plans and Recommendations.

- 1) What is the future of the organization/initiative?

Appendix D

Survey of the 12 Processes for Importance and Satisfaction

Key Process	Importance/Satisfaction Rating				
1) How <i>important</i> was it for the initiative to analyze information about problems in the neighborhood to help guide the initiatives efforts (e.g., LISC, Applied Urban Research Institute) and how <i>satisfied</i> were you with this process?	1 <i>Very Unimportant</i>	2	3 <i>Neither</i>	4	5 <i>Very Important</i>
2) Please indicate the impact of the process of analyzing information about the problem on the overall development of the initiative.	1 <i>No Impact</i>	2	3 <i>Moderate Impact</i>	4	5 <i>Great Impact</i>
3) How <i>important</i> was it to establish a clear vision and mission for where the initiative should be going and how <i>satisfied</i> were you with clarity of the group's vision and mission?	1 <i>Very Unimportant</i>	2	3 <i>Neither</i>	4	5 <i>Very Important</i>
4) Please indicate the <i>impact</i> of the process of establishing a clear vision and mission on the overall development of the initiative.	1 <i>No Impact</i>	2	3 <i>Moderate Impact</i>	4	5 <i>Great Impact</i>
5) How <i>important</i> was it to define an organizational structure and operating mechanisms for the imitative (e.g., roles and responsibilities, decision-making procedures) and how <i>satisfied</i> were you with the organizational structure of the initiative?	1 <i>Very Unimportant</i>	2	3 <i>Neither</i>	4	5 <i>Very Important</i>
6) Please indicate the <i>impact</i> of the process of defining an organizational structure and operating mechanism on the overall development of the initiative.	1 <i>No Impact</i>	2	3 <i>Moderate Impact</i>	4	5 <i>Great Impact</i>
7) How <i>important</i> was it to develop the strategic action plan to guide the initiative's efforts and how <i>satisfied</i>	1 <i>Very Unimportant</i>	2	3 <i>Neither</i>	4	5 <i>Very Important</i>

were you with the strategic planning process?	1 <i>Very Dissatisfied</i>	2	3 <i>Neither</i>	4	5 <i>Very Satisfied</i>
8) How <i>important</i> was the implementation of the action plan in facilitating community changes in the community and supporting the initiative's efforts and how <i>satisfied</i> were you with the implementation of the strategic plan by the initiative and collaborative partners?	1 <i>Very Unimportant</i>	2	3 <i>Neither</i>	4	5 <i>Very Important</i>
	1 <i>Very Dissatisfied</i>	2	3 <i>Neither</i>	4	5 <i>Very Satisfied</i>
9) Please indicate the <i>impact</i> of the process of developing and implementing a strategic action plan on the overall development of the initiative.	1 <i>No Impact</i>	2	3 <i>Moderate Impact</i>	4	5 <i>Great Impact</i>
10) How <i>important</i> was leadership development (e.g., staff, partners, and committee chair) and how <i>satisfied</i> were you with the overall development of the leaders of the initiative?	1 <i>Very Unimportant</i>	2	3 <i>Neither</i>	4	5 <i>Very Important</i>
	1 <i>Very Dissatisfied</i>	2	3 <i>Neither</i>	4	5 <i>Very Satisfied</i>
11) Please indicate the <i>impact</i> of leadership development on the overall development of the initiative.	1 <i>No Impact</i>	2	3 <i>Moderate Impact</i>	4	5 <i>Great Impact</i>
12) How important was it to encourage members of the community to take leadership roles (e.g., board members, committee chairs) and how <i>satisfied</i> were you with the participation of members of the initiative in assuming leadership roles?	1 <i>Very Unimportant</i>	2	3 <i>Neither</i>	4	5 <i>Very Important</i>
	1 <i>Very Dissatisfied</i>	2	3 <i>Neither</i>	4	5 <i>Very Satisfied</i>
13) How important was it to have organizational leaders (e.g., director, board members, committee chairs, etc..) to help facilitate the initiative's work and how <i>satisfied</i> were you with the facilitation of the initiative's efforts by organizational leaders?	1 <i>Very Unimportant</i>	2	3 <i>Neither</i>	4	5 <i>Very Important</i>
	1 <i>Very Dissatisfied</i>	2	3 <i>Neither</i>	4	5 <i>Very Satisfied</i>
14) How important was it to have competent leaders to help guide the initiative and how <i>satisfied</i> were you	1 <i>Very Unimportant</i>	2	3 <i>Neither</i>	4	5 <i>Very Important</i>

with the overall strength and competence of the initiative's leadership (e.g., staff, partners, committee chair)?	1 <i>Very Dissatisfied</i>	2	3 <i>Neither</i>	4	5 <i>Very Satisfied</i>
15) How <i>important</i> was it for the initiative to have a community mobilizer to help facilitate community change (e.g., implement the action plan, engage new members, etc..) and how <i>satisfied</i> were you with the efforts of the community mobilizer to help facilitate change in the community?	1 <i>Very Unimportant</i>	2	3 <i>Neither</i>	4	5 <i>Very Important</i>
	1 <i>Very Dissatisfied</i>	2	3 <i>Neither</i>	4	5 <i>Very Satisfied</i>
16) Please indicate the <i>impact</i> of having a community mobilizer on the overall development of the initiative.	1 <i>No Impact</i>	2	3 <i>Moderate Impact</i>	4	5 <i>Great Impact</i>
17) How <i>important</i> was it to have training and technical assistance available to the coalition to help support changes in the community (e.g., KUWG, LISC, AURI, city planning department) and how <i>satisfied</i> were you with the technical assistance that was provided?	1 <i>Very Unimportant</i>	2	3 <i>Neither</i>	4	5 <i>Very Important</i>
	1 <i>Very Dissatisfied</i>	2	3 <i>Neither</i>	4	5 <i>Very Satisfied</i>
18) Please indicate the <i>impact</i> of having a technical assistance on the overall development of the initiative.	1 <i>No Impact</i>	2	3 <i>Moderate Impact</i>	4	5 <i>Great Impact</i>
19) How <i>important</i> was it to document and receive feedback on the efforts of the initiative and how <i>satisfied</i> were you with the use of documented information (e.g., Online Documentation and Support System graphs, listings of community changes) as an ongoing indicator of progress to help assess the initiative's efforts?	1 <i>Very Unimportant</i>	2	3 <i>Neither</i>	4	5 <i>Very Important</i>
	1 <i>Very Dissatisfied</i>	2	3 <i>Neither</i>	4	5 <i>Very Satisfied</i>
20) Please indicate the <i>impact</i> of having documentation and feedback on the overall development of the initiative.	1 <i>No Impact</i>	2	3 <i>Moderate Impact</i>	4	5 <i>Great Impact</i>
21) How <i>important</i> was it to make the outcomes of the initiative matter (e.g., marketing efforts to publicize	1 <i>Very Unimportant</i>	2	3 <i>Neither</i>	4	5 <i>Very Important</i>

the initiative's efforts, bonus grants) to initiative members and more broad audiences and how <i>satisfied</i> were you with efforts to make the initiative's outcomes important and meaningful to members of the initiative and to the broader community?	1 <i>Very Dissatisfied</i>	2	3 <i>Neither</i>	4	5 <i>Very Satisfied</i>
22) Please indicate the <i>impact</i> that making outcomes matter had on the overall development of the initiative.	1 <i>No Impact</i>	2	3 <i>Moderate Impact</i>	4	5 <i>Great Impact</i>
23) How <i>important</i> was it to sustain the work of the initiative and how <i>satisfied</i> were you the initiative's efforts to ensure sustainability?	1 <i>Very Unimportant</i>	2	3 <i>Neither</i>	4	5 <i>Very Important</i>
	1 <i>Very Dissatisfied</i>	2	3 <i>Neither</i>	4	5 <i>Very Satisfied</i>
24) Please indicate the <i>impact</i> of sustainability on the overall development of the initiative.	1 <i>No Impact</i>	2	3 <i>Moderate Impact</i>	4	5 <i>Great Impact</i>
Overall Suggestions and Approval Rating					
26) How <i>important</i> was it and how <i>satisfied</i> were you with the initiative's efforts to facilitate change in the community?	1 <i>Very Unimportant</i>	2	3 <i>Neither</i>	4	5 <i>Very Important</i>
	1 <i>Very Dissatisfied</i>	2	3 <i>Neither</i>	4	5 <i>Very Satisfied</i>
27) Please indicate the overall <i>impact</i> of the initiative as a facilitator of community change in the targeted area.	1 <i>No Impact</i>	2	3 <i>Moderate Impact</i>	4	5 <i>Great Impact</i>
28) Is the community better off today because of the initiative?	1 <i>No</i>	2 <i>Yes</i>			

Appendix E

Illustrative Example of the Survey of the Impact of the Community Changes Facilitated by the Coalition

Directions: Please complete the following outcomes survey. This survey lists XX community changes that resulted from the initiative's efforts. For each survey item, please circle the number that best describes the likely impact of each community change.

Date	Description of Community Change	Impact Rating				
		1	2	3	4	5
4/1/1999	City works with residents and partners to implement Saturday Clean Sweep operation.	No Impact		Moderate Impact		Great Impact
7/1/1999	Village Presbyterian Church assists neighborhood in obtaining 501-C-3 IRS designation.	No Impact		Moderate Impact		Great Impact
7/1/1999	FEC summer youth staff worked for neighborhood for the first time they helped to create a mailing list and phone numbers for outreach purposes and to align numbers for phone tree communications.	No Impact		Moderate Impact		Great Impact
10/1/1999	Law enforcement and Legal Aid work with residents to block expansion of The Red Door Lounge. Effort led to the denial of an amusement license for the owner.	No Impact		Moderate Impact		Great Impact
12/1/1999	Kansas City Parks & Recreation staff work with residents to determine alternative uses and follow up redesign drawings for Sanford-Brown Park sites at Linwood and Brooklyn.	No Impact		Moderate Impact		Great Impact